

# Public Document Pack



**Cherwell**

DISTRICT COUNCIL  
NORTH OXFORDSHIRE

**Committee:** Personnel Committee  
**Date:** Tuesday 12 September 2023  
**Time:** 6.30 pm  
**Venue:** Bodicote House, Bodicote, Banbury, OX15 4AA

## Membership

Councillor Gemma Coton	<b>Councillor Lynn Pratt (Vice-Chairman)</b>
Councillor Fiona Mawson	Councillor David Hingley
Councillor Lynne Parsons	Councillor Dr Chukwudi Okeke
Councillor George Reynolds	Councillor Chris Pruden
Councillor Douglas Webb	Councillor Amanda Watkins
Councillor Barry Wood	Councillor Bryn Williams

## AGENDA

### 1. Appointment of Chairman

To appoint a Chairman for the remainder of the 2023/24 municipal year.

### 2. Appointment of Vice-Chairman (if required)

In the event of the Vice-Chairman being appointed as Chairman, the committee will be required to appoint a new Vice-Chairman.

### 3. Apologies for Absence and Notification of Substitute Members

### 4. Declarations of Interest

Members are asked to declare any interest and the nature of that interest which they may have in any of the items under consideration at this meeting.

### 5. Petitions and Requests to Address the Meeting

The Chairman to report on any requests to submit petitions or to address the meeting.

### 6. Urgent Business

The Chairman to advise whether they have agreed to any item of urgent business being admitted to the agenda.

**7. Minutes** (Pages 5 - 8)

To confirm as a correct record the Minutes of the meeting of the Committee held on 13 June 2023.

**8. Chairman's Announcements**

To receive communications from the Chairman.

**9. Workforce Profile Statistics** (Pages 9 - 28)

Report of Chief Executive

**Purpose of report**

To provide the Personnel Committee with an update on CDC's workforce including measuring staff well-being and to highlight the actions officers are taking to address any issues.

**Recommendations**

The meeting is recommended:

- 1.1 To review and note the workforce data for Quarter 1 of 2023/24 provided in Appendix one.

**10. Policy Updates** (Pages 29 - 74)

Report of Chief Executive

**Purpose of report**

To seek approval from the Personnel Committee on proposed changes to existing HR policies.

**Recommendations**

The meeting is recommended:

- 1.1 To review and approve the following policies for implementation:
  - Exit Interview Policy
  - Criminal Record Checking Policy and Procedure
  - Politically Restricted and Politically Sensitive Posts Policy
  - Lone Working Policy

**Councillors are requested to collect any post from their pigeon hole in the Members Room at the end of the meeting.**

## **Information about this Meeting**

### **Apologies for Absence**

Apologies for absence should be notified to [democracy@cherwell-dc.gov.uk](mailto:democracy@cherwell-dc.gov.uk) or 01295 221534 prior to the start of the meeting.

### **Declarations of Interest**

Members are asked to declare interests at item 2 on the agenda or if arriving after the start of the meeting, at the start of the relevant agenda item.

### **Local Government and Finance Act 1992 – Budget Setting, Contracts & Supplementary Estimates**

Members are reminded that any member who is two months in arrears with Council Tax must declare the fact and may speak but not vote on any decision which involves budget setting, extending or agreeing contracts or incurring expenditure not provided for in the agreed budget for a given year and could affect calculations on the level of Council Tax.

### **Evacuation Procedure**

When the continuous alarm sounds you must evacuate the building by the nearest available fire exit. Members and visitors should proceed to the car park as directed by Democratic Services staff and await further instructions.

### **Access to Meetings**

If you have any special requirements (such as a large print version of these papers or special access facilities) please contact the officer named below, giving as much notice as possible before the meeting.

### **Mobile Phones**

Please ensure that any device is switched to silent operation or switched off.

### **Queries Regarding this Agenda**

Please contact Aaron Hetherington, Democratic and Elections [democracy@cherwell-dc.gov.uk](mailto:democracy@cherwell-dc.gov.uk), 01295 221534

**Yvonne Rees**  
**Chief Executive**

Published on Monday 4 September 2023

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## **Cherwell District Council**

### **Personnel Committee**

Minutes of a meeting of the Personnel Committee held at Bodicote House, Bodicote, Banbury, OX15 4AA, on 13 June 2023 at 7.30 pm

#### Present:

Councillor Lynn Pratt (Vice-Chairman)  
Councillor Gemma Coton  
Councillor David Hingley  
Councillor Fiona Mawson  
Councillor Dr Chukwudi Okeke  
Councillor Lynne Parsons  
Councillor Chris Pruden  
Councillor George Reynolds  
Councillor Amanda Watkins  
Councillor Douglas Webb  
Councillor Barry Wood

#### Also Present:

Councillor Sandy Dallimore, Portfolio Holder for Corporate Services

#### Apologies for absence:

Councillor Ian Harwood

#### Officers:

Claire Cox, Assistant Director Human Resources  
Susan Blunsden, HR Manager  
Aaron Hetherington, Democratic and Elections Team Leader

### **3      **Declarations of Interest****

There were no declarations of interests.

### **4      **Petitions and Requests to Address the Meeting****

There were no petitions or requests to address the meeting.

### **5      **Urgent Business****

There were no items of urgent business.

### **6      **Minutes****

The Minutes of the meetings of the Committee held on 15 March 2023 and 23 May 2023 were confirmed as correct records and signed by the Chairman.

**7 Chairman's Announcements**

There were no Chairman's announcements

**8 Policy Review**

The Committee considered a report from the Chief Executive that sought approval on proposed changes to existing HR policies.

In introducing the report, the Assistant Director of Human Resources explained the changes in the policies were due to changes in the Council's Constitution. The Assistant Director of Human Resources also stated that there would be a continuation to review policies to bring them in line with the Council's constitution when required.

In response to Members' questions, the Assistant Director Human Resources confirmed that the policies were compliant with national legislation and that any further change would be brought to the Personnel Committee for update and review.

**Resolved**

(1) That the following policies be approved for implementation:

- Sickness Absence Policy
- Organisational Change Policy
- Disciplinary Policy and Procedure
- Capability Policy
- Stand-by and on-call Policy
- Market Supplement Policy
- Car User Policy

**9 Workforce Profile Statistics**

The Committee considered a report from the Chief Executive that provided the Personnel Committee with an update on Cherwell District Council's workforce including measuring staff well-being and to highlight the actions officers were taking to address any issues.

In introducing the report, The Assistant Director of Human Resources provided an overview on the workforce data for Quarter 4 of 2022/23.

In response to members questions in regard to the decrease in headcount across the council from quarter 1, the Assistant Director of Human Resources confirmed that this was due to the decoupling from OCC.

Regarding agency staff, the Assistant Director of Human Resources explained that there were circumstances where the Council would need to use agency staff where it could not be avoided. For example, in Waste Services, where three manned crews were required to collect the waste in the district, agency staff would be used to help the service.

In response to queries from the Committee regarding actions to increase diversity of the workforce, the Assistant Director of Human Resources explained that a new recruitment module was being introduced from July 2023. The module would provide information regarding the reach of recruitment advertising, which would allow the HR team to review effectiveness.

In response to members questions regarding Local Government Association and District Council's Network graduate trainee schemes and if the council invested in them, the Assistant Director of Human Resources confirmed that the council had taken on two LGA graduates and would continue to monitor going forward.

**Resolved**

- (1) That the workforce data for Quarter 4 of 2022/23 be noted.

10 **Equalities, Diversity and Inclusion (EDI) Working Group**

The Committee were asked to nominate representatives to the Equalities, Diversity and Inclusion (EDI) working group, which was proposed to continue as a joint working group with Overview and Scrutiny Committee.

**Resolved**

- (1) That Councillor Coton, Councillor Okeke and Councillor Pruden be nominated to represent the Personnel Committee at the Equalities Diversity and Inclusion (EDI) Working Group.

11 **Work Programme 2023/2024**

The Committee considered the indicative work programme for 2023/2024

**Resolved**

- (1) That the work programme 2023/2024 be noted.

The meeting ended at 8.01 pm

Chairman:

Date:



## **Cherwell District Council**

### **Personnel Committee**

**12 September 2023**

### **Workforce Profile Statistics**

### **Report of Chief Executive**

This report is public

### **Purpose of report**

To provide the Personnel Committee with an update on CDC's workforce including measuring staff well-being and to highlight the actions officers are taking to address any issues.

### **1.0 Recommendations**

The meeting is recommended:

- 1.1 To Review and note the workforce data for Quarter 1 of 2023/24 provided in Appendix one.

### **2.0 Introduction**

- 2.1 Workforce Data for Quarter 1 of 2023/24 has been produced and is available at appendix one of this report. HR monitor workforce data on a quarterly basis to identify emerging trends in staff wellbeing and organisational development. Comparative data is included to assist CDC with benchmarking against the local government sector and, for sensitive information such as ethnicity, gender, age, against the make-up of the district and the UK overall.

### **3.0 Report Details**

- 3.1 The workforce profile report provides commentary and data for quarter 1 of 2023/24. It also includes past data where this is available, some of which dates back to April 2020 – the start of the COVID-19 pandemic. Monitoring data through the pandemic helps us to understand how things have changed or are changing as the world continues to adjust to a new normal This report provides annual analysis on key data such as turnover and absence rates.

3.2 The report provides statistics on:

- Headcount & FTE
- Employment and role basis
- Agency usage
- Turnover
- Leavers by length of service
- Leavers by reason
- Sickness absence incidents by reason
- Sickness absence rates –all absence, short-term, long-term, stress-related
- Percentage of working time lost due to sickness absence
- Age profile
- Gender profile
- Ethnicity profile
- Disability profile
- Sexual orientation profile
- Apprenticeship information

3.3 At Personnel Committee in June 2023, it was requested that further data analysis be provided in relation to the sensitive information categories. Our collection of this data has vastly improved, and HR and the CEO are continuing to encourage all employees to provide this data. CDC recognise this is not mandatory but are encouraging staff to share as widely as possible as all information helps inform future policies / programmes of support.

## **4.0 Conclusion and Reasons for Recommendations**

Monitoring workforce data helps CDC to measure how well it is supporting staff - focusing on wellbeing and personal development so it can identify issues at the earliest opportunity to address them effectively. It is also helpful for some data sets to compare how we are performing against the rest of the local government sector, to ensure it remains an attractive employer and retains its staff.

## **5.0 Consultation**

N/A

## **6.0 Alternative Options and Reasons for Rejection**

6.1 The following alternative options have been identified and rejected for the reasons as set out below.

Option 1: Not to complete workforce statistics, this option is rejected as workforce analytics will enable CDC to address challenges and efficiencies in the workforce more efficiently.

## **7.0 Implications**

### **Financial and Resource Implications**

- 7.1 There are no financial implications directly associated with this report. This is historic information for which any costs will already have been incurred.

Comments checked by:

Leanne Lock, Strategic Finance Business Partner  
[leanne.lock@cherwell-dc.gov.uk](mailto:leanne.lock@cherwell-dc.gov.uk), 01295 227098

### **Legal Implications**

- 7.2 Monitoring employment statistics assists the Council to understand its employment trends and this will aid compliance with employment law obligations.

Comments checked by:

Shiraz Sheikh, Assistant Director of Law, Governance and Democratic Services and Monitoring Officer, [Shiraz.Sheikh@cherwell-dc.gov.uk](mailto:Shiraz.Sheikh@cherwell-dc.gov.uk)

### **Risk Implications**

- 7.3 There are no risks arising directly from this report.

Comments checked by:

Natasha Barnes, CSC Service Delivery Manager, 01295 227965  
[natasha.barnes@cherwell-dc.gov.uk](mailto:natasha.barnes@cherwell-dc.gov.uk)

### **Equalities and Inclusion Implications**

- 7.4 There are no equalities nor inclusion implications arising directly from this report.

By monitoring and reporting on the protected characteristics of our workforce, the organisation can use this data to maintain and continually improve our inclusive recruitment and employment practices.

Comments checked by:

Natasha Barnes, CSC Service Delivery Manager, 01295 227965  
[natasha.barnes@cherwell-dc.gov.uk](mailto:natasha.barnes@cherwell-dc.gov.uk)

### **Sustainability Implications**

- 7.5 There are no sustainability implications arising directly from this report.

Comments checked by:

Jo Miskin, Climate Action Manager, 01295 221748, [jo.miskin@cherwell-dc.gov.uk](mailto:jo.miskin@cherwell-dc.gov.uk)

## **8.0 Decision Information**

**Key Decision** N/A

**Financial Threshold Met:** N/A

**Community Impact Threshold Met:** N/A

**Wards Affected**

N/A

**Links to Corporate Plan and Policy Framework**

N/A

## **Document Information**

**Appendix number and title**

- Appendix 1 – Workforce Profile Data – Quarter 1 2023-24

**Background papers**

None

**Report Author and contact details**

Claire Cox, Assistant Director of HR

[Claire.cox@cherwell-dc.gov.uk](mailto:Claire.cox@cherwell-dc.gov.uk)

01295 221549

**Headcount and Full Time Equivalent (FTE) comparison and Agency usage**

Chart 1 shows that the headcount (based at the end of each quarter) at Cherwell District Council (CDC) has seen an increase of 19 between quarter 4 of 2022/23 and quarter 1 of 2023/24.

Quarter 1 of 2023/24 has seen adjustments of 22 leavers and 37 new starters across the organisation.

**Chart 1**

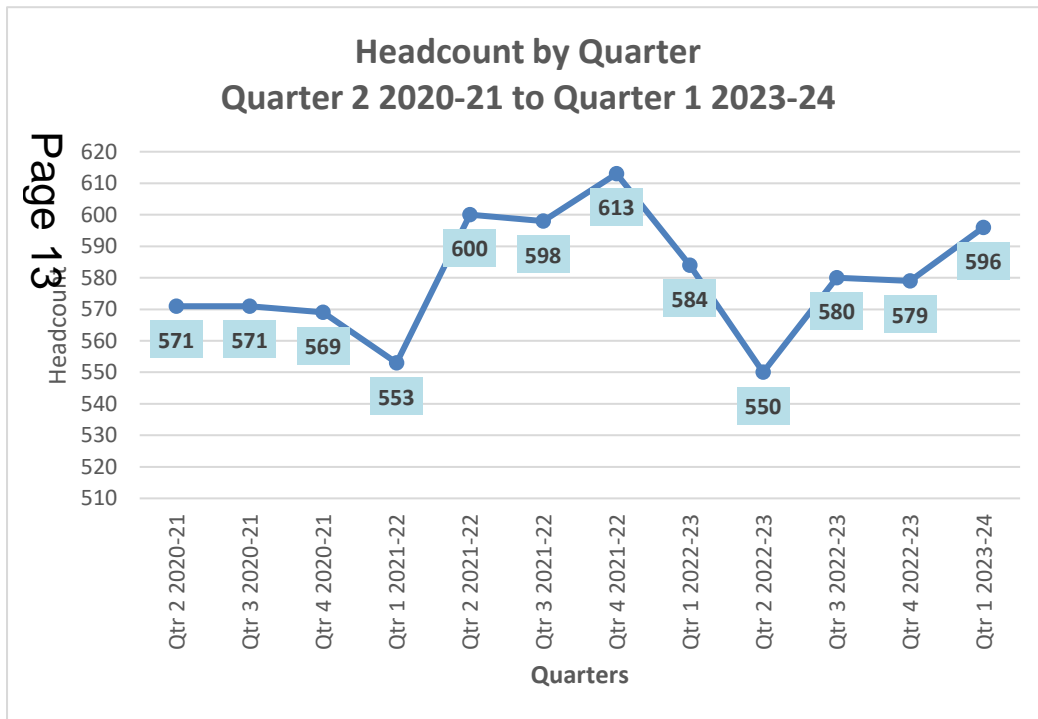


Chart 2 details the distribution of headcount across our departments and directorates as at the end of quarter 1 in 2023/24. Wellbeing and Environmental Services continue to show the highest headcount. The department of Chief Executive’s Office incorporates executive support and employees attributed to the Pan Regional Partnership, for which CDC is the accountable body. CDC are also host employer to the District Councils Network (DCN) and these employees are included in the HR, OD and Payroll directorate.

Environmental Services has had the biggest increase in headcount with 11 new starters in the last quarter. Law and Governance have had 6 and Wellbeing have had 5.

**Chart 2**

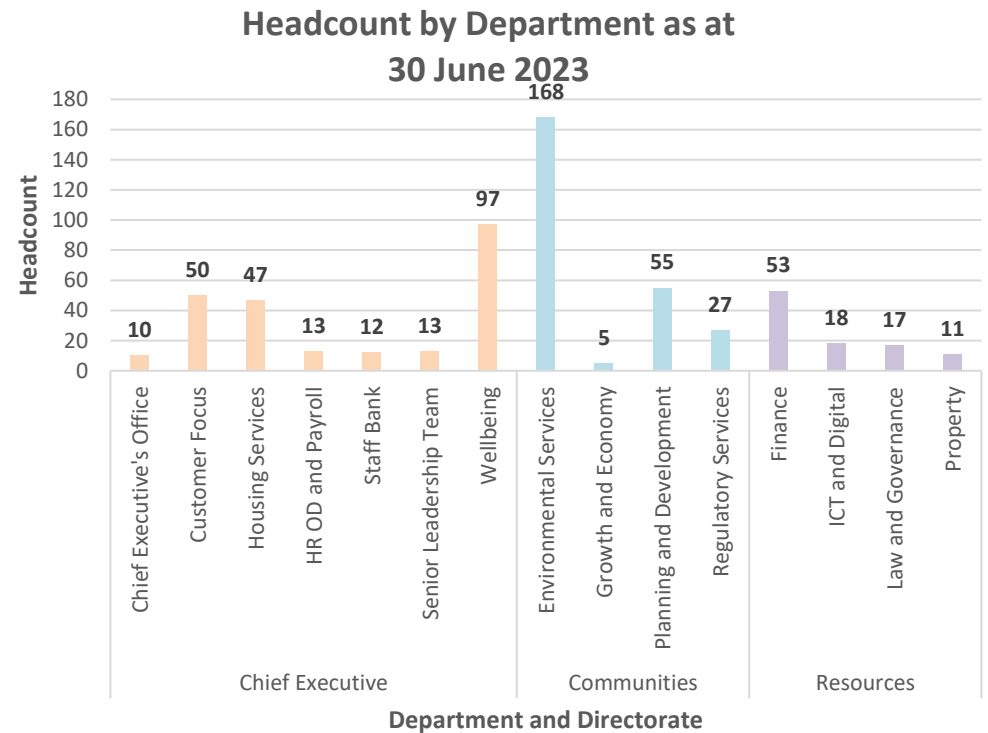


Chart 3 outlines the fluctuation of FTE which mirrors headcount for this quarter due to there being an increase in headcount, and a higher number of starters than leavers.

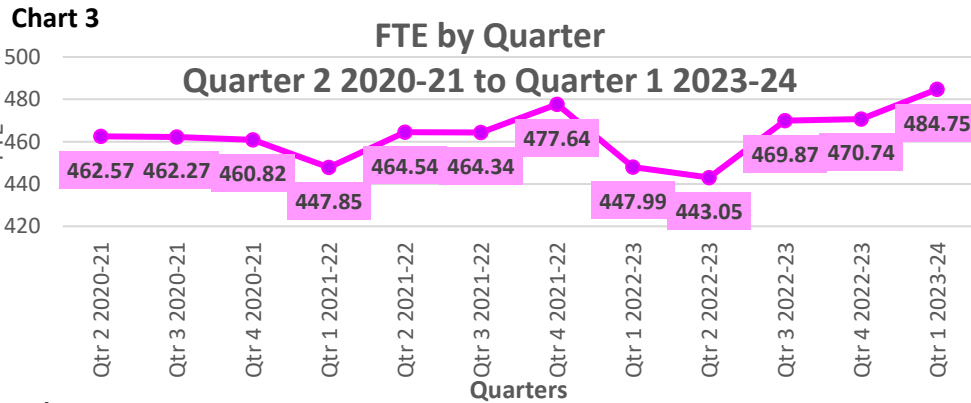
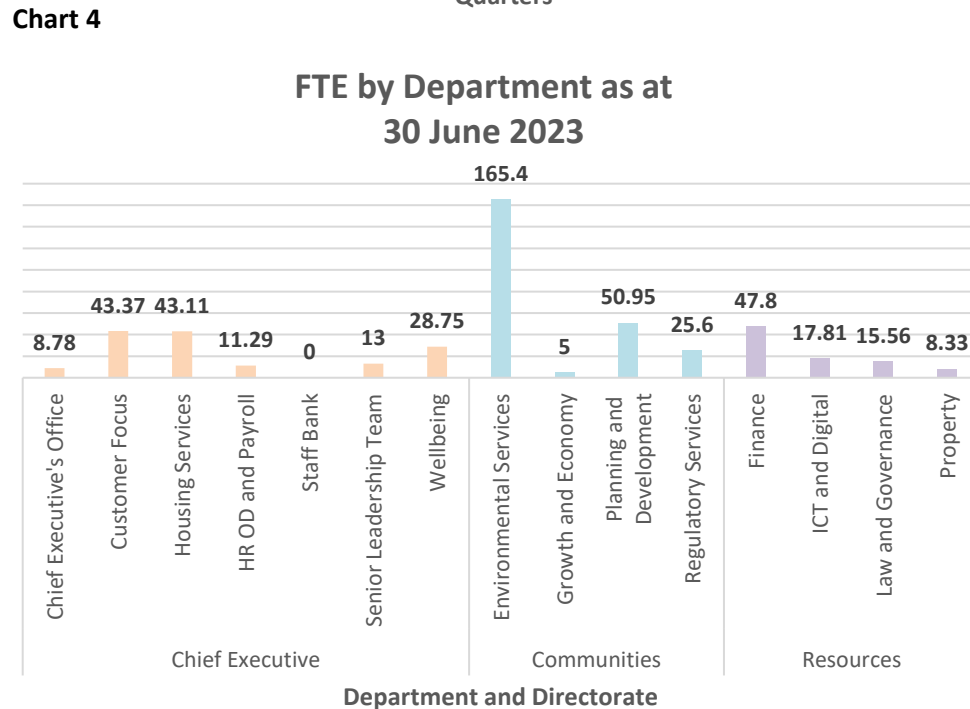


Chart 4 outlines the distribution of FTE across the departments and directorates as at the end of quarter 1 of 2023/24. FTE has increased by 14.01 between quarter 4 of 2022/23 and quarter 1 of 2023/24.

Since quarter 4 of 2023/24; Planning and Development has seen a reduction of 2.66 FTE, and HR, OD and Payroll a reduction of 2 FTE. Environmental Services has seen an increase of 11 FTE, Law and Governance has increased by 5.44 and Housing Services has increased by 2.94 FTE.

Charts 5 shows the breakdown of basis of hours across our workforce as at 30 June 2023. Since quarter 4 of 2022/23 there has been minimal change to the make-up of role-basis with our full-time workforce increasing by 0.15% and part-time reducing by 0.29%. Our casual workforce has reduced by 0.14%.



**Chart 5**  
**% Breakdown of Role Basis as at 30 June 2023**

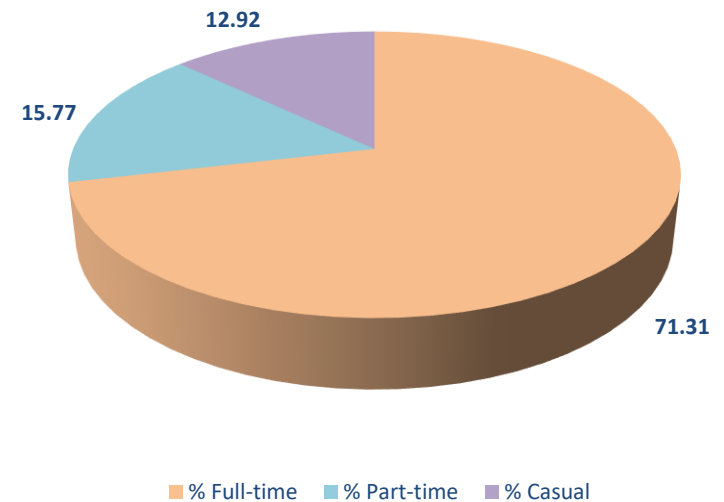
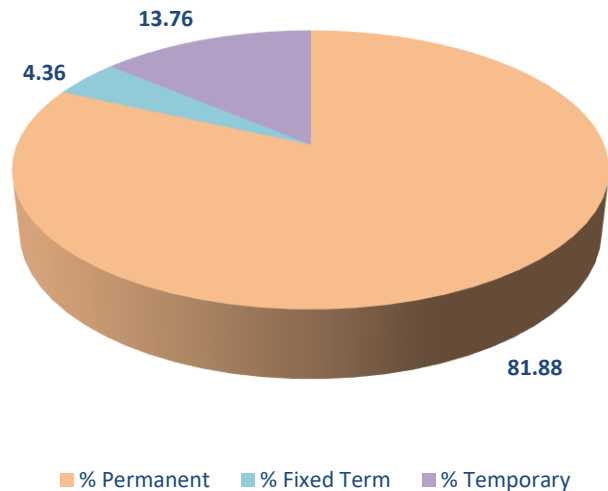


Chart 6 outlines the employment basis of those directly employed by CDC shows that 81.88% of our workforce are in permanent roles. This has slightly reduced 0.33% since Quarter 4 of 2022/23. There has been minimal fluctuation of employment basis since the last quarter.

Chart 6

**% Breakdown of Employment Basis as at 30 June 2023**



In addition to employing staff directly, CDC also utilise Agency Workers, either for interim or short-term usage for specific posts and projects.

Chart 7 outlines agency usage as at the end of each quarter for the last rolling year by directorate and department.

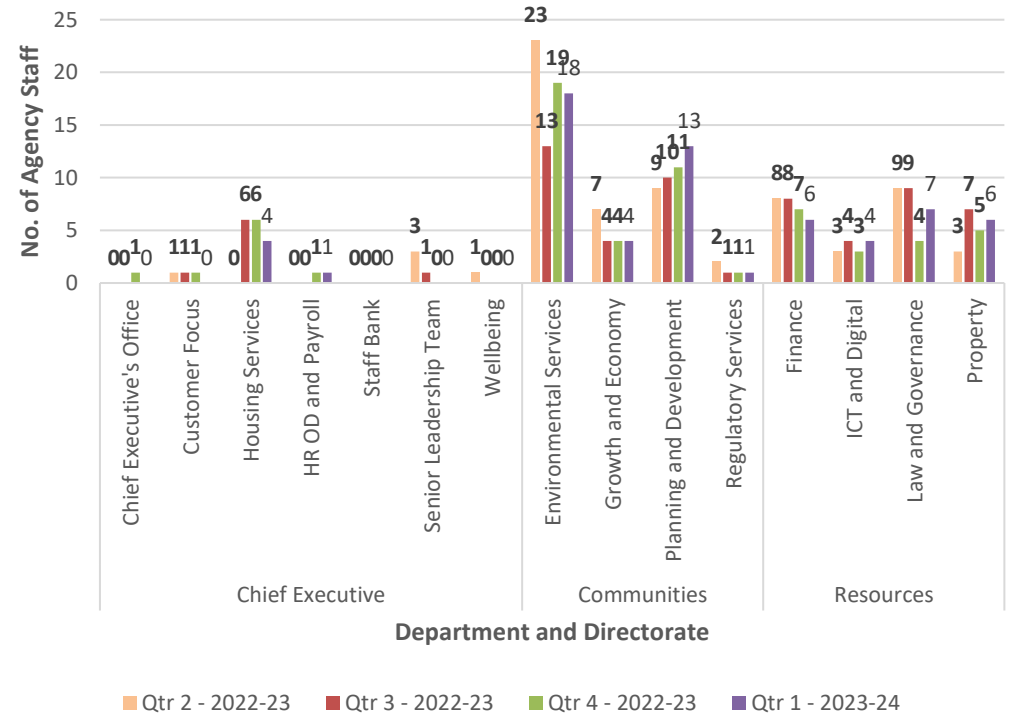
A total of 64 Agency workers were engaged with CDC at the end of quarter 1 of 2023/24. This is an increase of 1 since the end of quarter 4 of 2022/23.

The highest agency usage continues to be within Environmental Services, within refuse collection and this is due to having 3-person crews on refuse collection, often utilising agency staff to cover for employee sickness and holidays.

Planning and Development have utilised 13 agency staff in quarter 1, an increase of 2 since quarter 4, 2022/23. Law and Governance have increased their agency usage by 3 in the last quarter. Property has reduced agency usage by 1 since quarter 4.

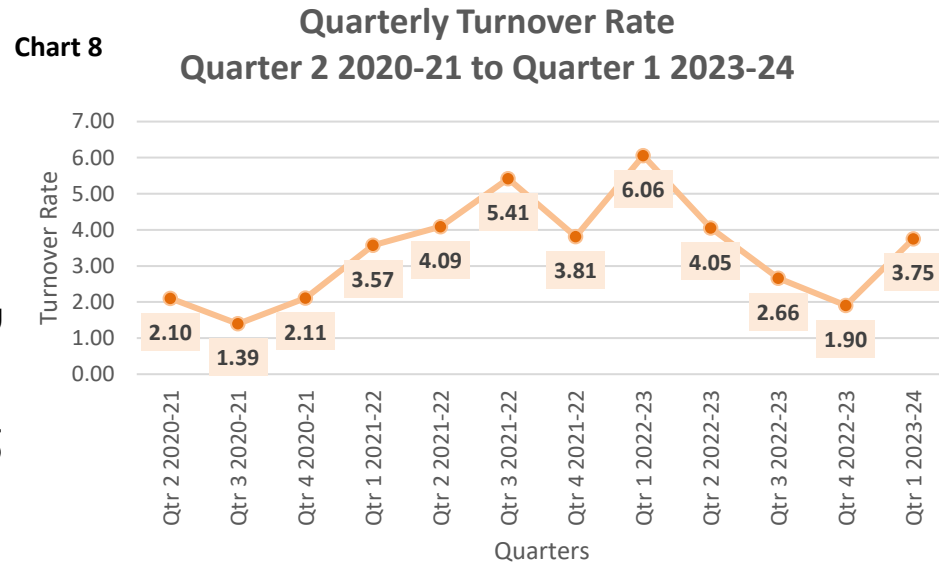
Chart 7

**Agency Usage as at Quarter End for the last rolling 12 months**



**Turnover rates and Leaver information**

Chart 8 tracks the turnover rate per quarter from July 2020 to June 2023. The turnover rate is defined by firstly calculating the average number of employees for the quarter period and dividing the number of leavers by the average number of



The turnover for quarter 1 shows an increase of 1.85% in the turnover rate since quarter 4 of 2022/23.

CDC participate in a workforce metric benchmark exercise that is co-ordinated by the Local Government Association. Data around employee turnover is submitted on a quarterly basis by CDC and other local authorities across the country and this has been translated into a mean average across the local authorities sector.

Table 1 provides comparison of the turnover rate for all local authorities across the UK and CDC. Whilst for quarter 1, CDC registered a higher turnover rate than the mean average of all English authorities, for quarters 2 to 4 of 2022-23, CDC's turnover rate has been lower, with quarter 4 showing CDC as 1.6% below the mean.

LGA statistics for quarter 1 of 2023-24 are not yet available but will be tracked and added in the next round of statistics. LGA statistics for 2022-23 and Labour turnover comparative data is shown in Table 1.

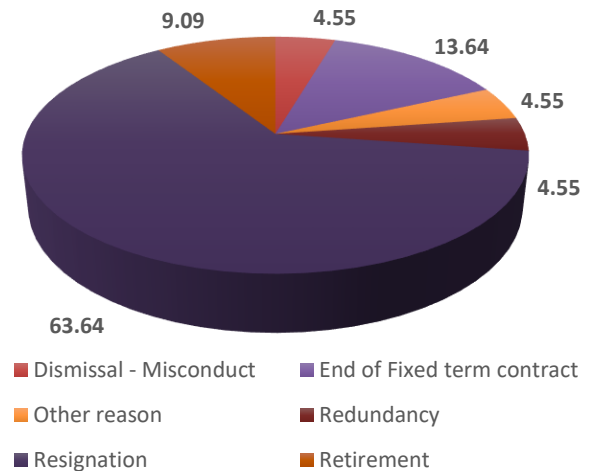
**Table 1**

Quarter	Mean for All English authorities	CDC
Qtr 1 2022-23	4.1%	6.06%
Qtr 2 2022-23	4.3%	4.05%
Qtr 3 2022-23	3.3%	2.66%
Qtr 4 2022-23	3.5%	1.90%
Qtr 1 2023-24	Not yet published	3.75%

Chart 9 outlines leavers by reason for quarter 1 of 2023/24. Of the 22 leavers recorded in quarter 1, resignation is the highest reason for leaving, accounting for 63.64% of all leavers. 13.64% of leavers are due to end of fixed term contract and 9.09% due to retirement.

**Chart 9**

**% of Leavers by reason**  
**1 April to 30 June 2023**





**Chart 10**  
**Leavers by Length of Service**  
**1 April 2020 - 30 June 2023**

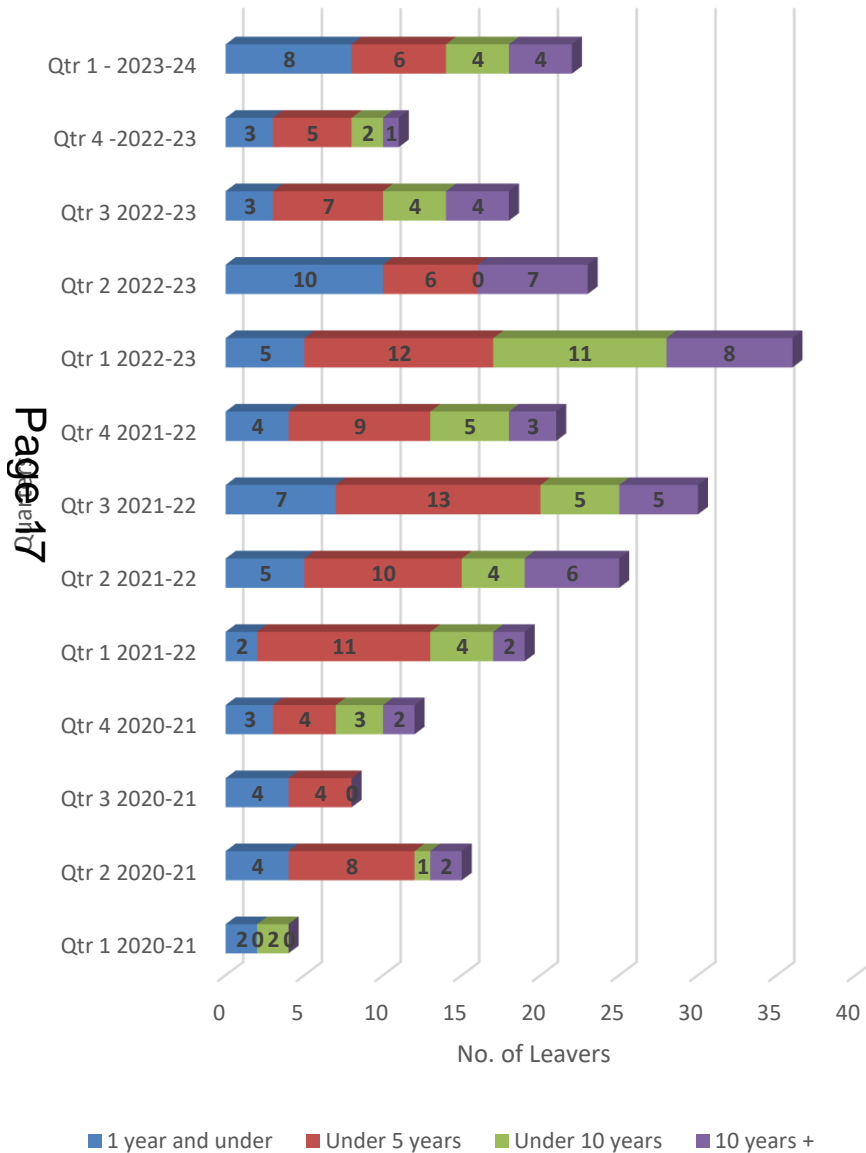


Chart 10 outlines leavers by length of service across the last 13 quarters. In quarter 1 of 2023/24, 8 leavers had less than a year’s service.

When a resignation is received within HR, employees are provided with an electronic exit questionnaire to complete via our HR/Payroll system and invited to attend a meeting with a member of the HR team to ascertain why they are leaving and whether they have any advice or comments on lessons learned or improvements that could be made.

Of the 22 leavers in quarter 1, all were offered the opportunity to partake in an exit interview. 10 completed the exit interview questionnaire and 8 attended meetings with a member of the HR Team. This is a 45.45% completion rate, which is down from the last quarter that recorded a 72% completion rate. We cannot force employees to provide this data to us or attend a meeting with HR but we will look to review in order to embed this process.

Data will continue to be gathered and shared with the relevant managers in a bid to work on any advice received in order to make improvements, where possible, for existing employees, thus aiding retention.

**Sickness Absence reasons and rates**

Chart 11 shows the number of sickness absence incidents by reason over the last 9 quarters, back to April 2021. Whilst COVID-19 remains the highest reason of sickness absence across the time period, the number of incidents attributed to this have significantly reduced in the last 2 quarters.

Stomach/Liver/Kidney and Digestion has been the highest reason for sickness absence in the last quarter, accounting for 17.69% of all incidents. This was closely followed by Musculo-skeletal accounting for 16.15% of incidents. Non-work-related stress has increased in the last quarter, recording 14.61% of all incidents.

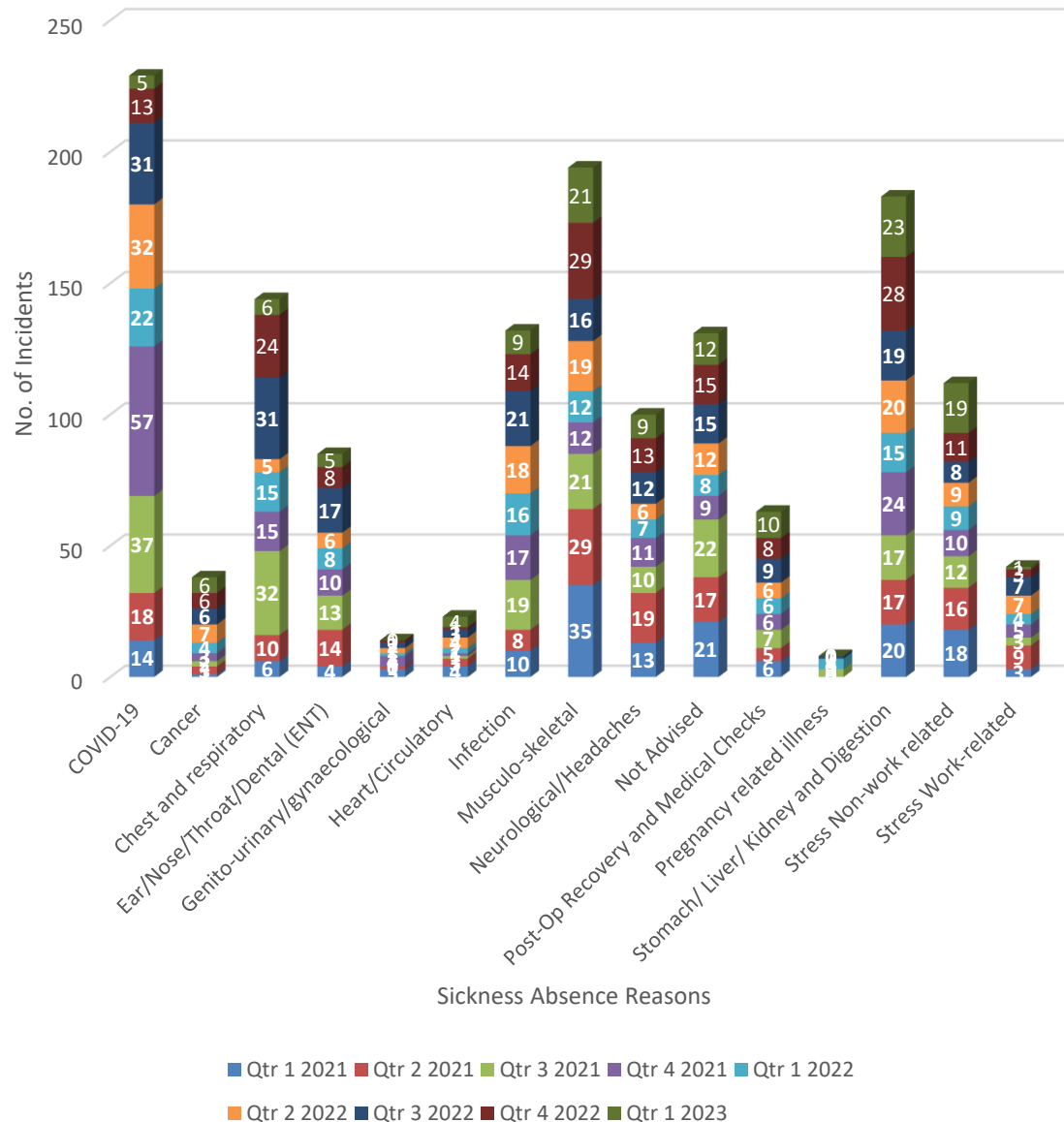
There were 130 incidents of sickness absence recorded in Quarter 1 of 2023/24, this is 3 less than the same quarter of 2022/23.

The highest reason for sickness absence in the last rolling 12 months was Stomach/Liver/Kidney and Digestion, with 90 incidents recorded and accounting for 13.74% of all incidents.

The second highest reason for sickness absence in the last rolling 12 months is Musculo-skeletal, with 85 incidents reported which equates to 12.97% of all incidents.

After being the highest reason for sickness absence for 5 out of the last 9 quarters, COVID-19 is now the third most common reason for sickness absence in the last year, accounting for 12.36% of incidents.

**Chart 11 Sickness Absence Incidents by Reason April 2021 to June 2023**



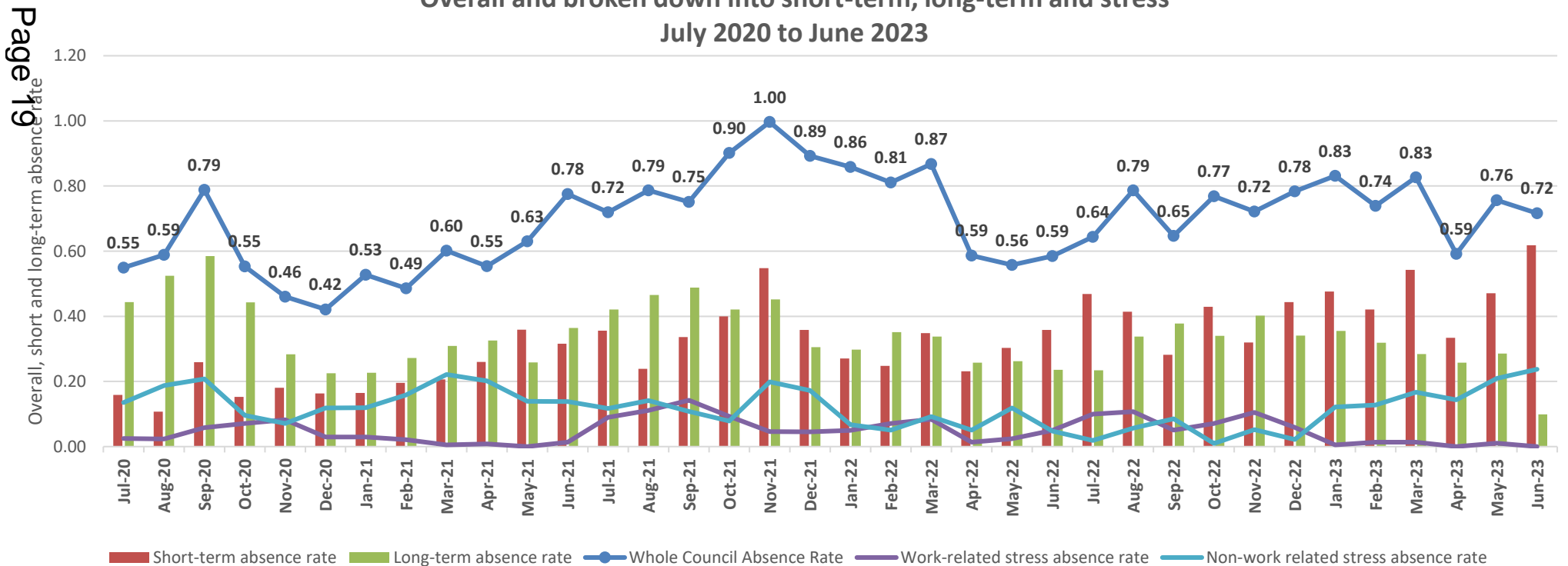
For the purposes of sickness absence reporting, short term absence is recorded as any incident that is less than 28 days, and a GP fit note is required after an employee has been absent for 7 calendar days. Long-term sickness is recorded as any absence spanning 28 days or more. HR work with managers and employees, where employees are off on long-term sick to engage with Cordell Health, CDC's Occupational Health Provider and ensure effective absence management.

Chart 12 tracks the absence rate per month, which is effectively the percentage of working time lost, from July 2020 to June 2023 and shows that CDC are consistently below 1% of working time lost due to sickness absence. The absence rate is calculated by dividing the hours lost due to sickness absence by the available working hours for the period. The highest rate of absence, recording 1% of working time lost; is in November 2021. Quarter 1 records a slightly lower absence rate than quarter 4 of 2022/23. There were 44 less incidents in Quarter 1 of 2023/24 compared to 2022/23.

Chart 14 also captures the absence rate of short and long-term instances, In the last 12 months. June 2023 has the highest rate of short-term absence, recording a rate of 0.62 days per FTE. November 2022 had the highest rate of long-term absence in the last 12 months, with 0.40 days lost per FTE.

Chart 12

**Council Absence Rates by Month**  
Overall and broken down into short-term, long-term and stress  
July 2020 to June 2023



The absence rate attributed to stress is also displayed in Chart 12 and whilst a slight increase in work-related stress was recorded through November 2022, with a rate of 0.10, this has since declined, ending 2022/23 on a rate of 0.05 and starting 2023/24 on the same rate. Work-related stress accounted for 0.77% of incidents in quarter 1 of 2023/24 and 2.75% of all incidents occurring in the last rolling 12 months.

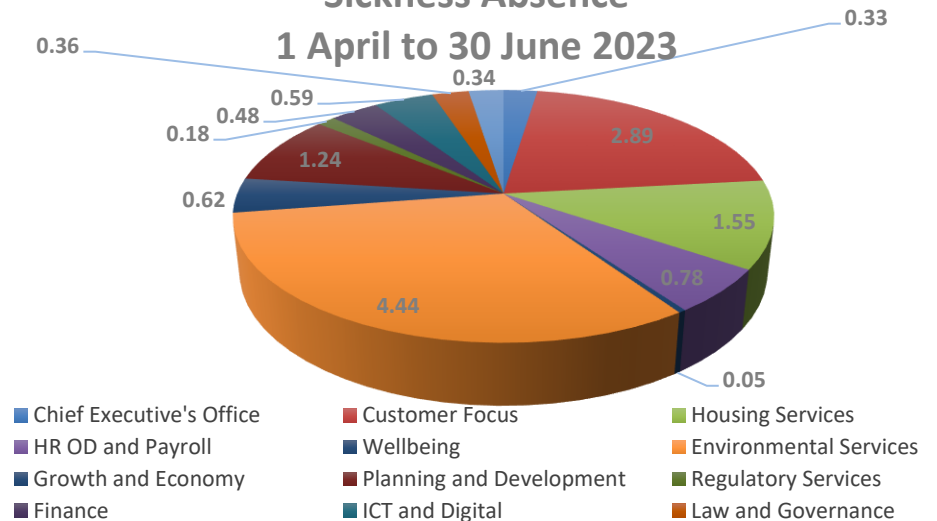
The non-work related stress absence rate has had an increase over the last quarter, from 0.17 at the end of 2022/23 to 0.24 at the end of quarter 1 of 2023/24. Non-work related stress incidents accounted for 14.61% of all incidents in quarter 1 of 2023/24 and 7.18% of all incidents across the last year.

HR continue to ensure that Occupational Health support is accessed at the point that employee sickness is classified as long-term unless there are benefits to instigate this sooner. If an employee reports that they are absent due to stress, then an immediate referral to Occupational Health is made to ensure that support mechanisms can be put in place as soon as possible. Employees are also asked to complete a Health and Safety Executive (HSE) Stress Questionnaire as this provides information on the causes of stress which aids the organisation in supporting employees to deal with these issues where possible.

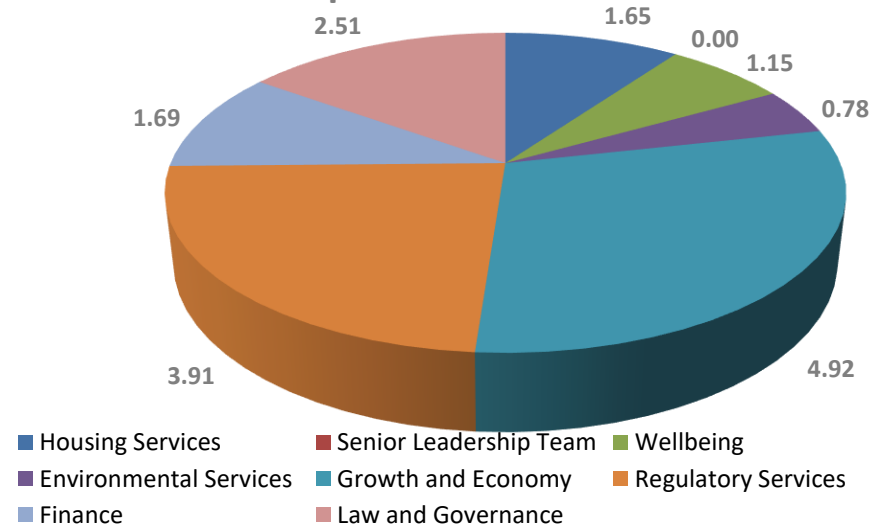
Employees also continue to have access to the Employee Assistance Programme (EAP) which is provided by Health Assured and offers access to counselling, legal and financial advice, and wellbeing resources. The service is confidential and whilst statistics on usage are reported through to CDC; details of which employees have made contact is withheld.

Charts 13 and 14 provide a breakdown of the percentage of working time lost by department for both short term and long-term sickness absence.

**Chart 13** % Working Time Lost due to Short Term Sickness Absence  
1 April to 30 June 2023



**Chart 14** % Working Time Lost due to Long Term Sickness Absence  
1 April to 30 June 2023



Comparative sector data for sickness absence rates has been sought from the Local Government Association (LGA) and is displayed alongside data for CDC in Table 2.

LGA Sickness data for quarter 1 of 2023/24 is not yet available but will be added into a later edition of these statistics. The LGA calculate the mean sickness absence rate across all English authorities as 2.5 days per person in quarter 4 of 2022/23. CDC records a rate of 1.65 days in quarter 1, 2.11 days in quarter 2, 2.27 days in quarter 3, 2.4 days in quarter 4 and 2.04 days in quarter 1 of 2023/24.

CDC is consistently lower than the mean average for the sickness absence rate in comparison to all local authorities. CDC remains lower on the percentage of working time lost due to sickness absence. In quarter 4 of 2022/23, CDC's short term absence rate was 0.62% higher than the mean average but the long-term sickness absence was 0.72% lower. Comparative data for quarter 1 of 2023/24 will be provided in a later version of these statistics once available.

Table 2

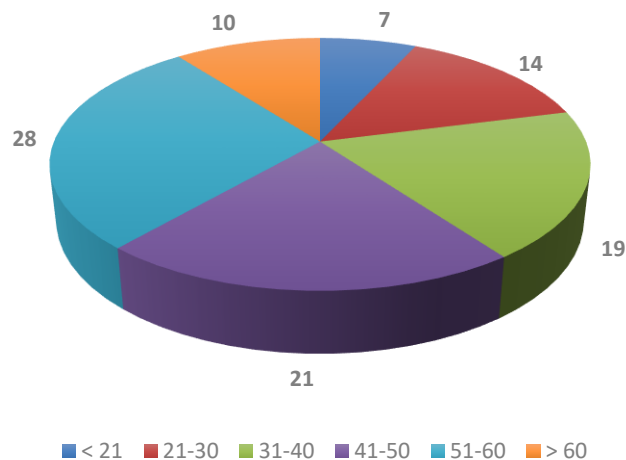
Metric Type	Value Type	QUARTER 1 Mean for All English authorities	CDC Qtr 1	QUARTER 2 Mean for All English authorities	CDC Qtr 2	QUARTER 3 Mean for All English authorities	CDC Qtr 3	QUARTER 4 Mean for All English authorities	CDC Qtr 4	CDC Qtr 1
Sickness absence rate	Days per FTE	2.8	1.65	2.3	2.11	2.6	2.27	2.5	2.4	2.04
Days lost through sickness, short term	%	11.6	1.37	5.5	1.79	1.9	1.19	1.6	2.22	2.16
Sickness absence, short term (FTE)	Days per FTE	1.2	0.89	0.9	1.17	1.1	1.24	1.0	1.44	1.41
Days lost through sickness, long term	%	11.1	1.16	4.2	1.46	2.3	1.08	2.2	1.48	0.98
Sickness absence, long term (FTE)	Days per FTE	1.5	0.76	1.3	0.94	1.4	1.13	1.4	0.96	0.63

**Age, Gender, Ethnicity, Disability and LGBTQ+ Workforce Profile as at 30 June 2023**

Chart 15 shows a breakdown by age of the CDC workforce, expressed in percentage. 10% of CDC employees are over 60. 49% of CDC employees are aged between 41 and 60. 19% of the workforce are aged between 31 and 40 and 14% aged under 21 to 30 and 7% are under 21. There has not been more than a 1% increase or reduction in any of these categories in the last quarter.

Chart 15

**Age Profile Percentage as at 30 June 2023**



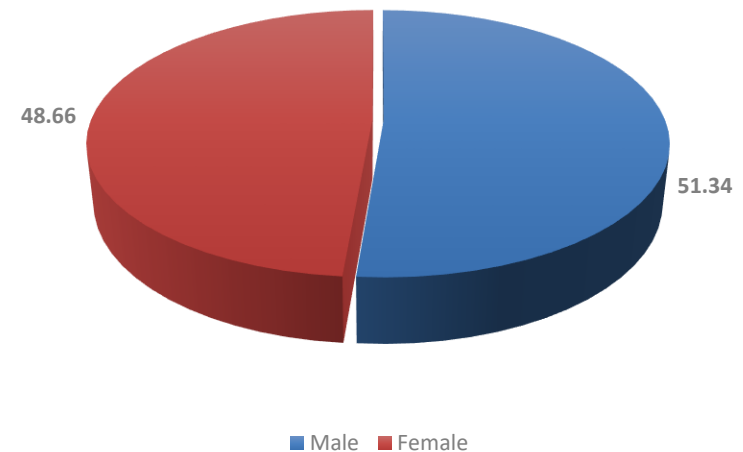
Page 22

Chart 16 breaks down the gender of the CDC workforce and shows that CDC is almost a 50% split, although there has been a 1% shift from female to male in the latest quarter.

CDC record statistics on employees sensitive data in order to ensure that our workforce is representative of the district we support and serve. Where we are under-represented, we need to review what we can do to ensure these groups are aware of the employment opportunities we have available. Local Insight data in relation to gender and ethnicity within the Cherwell District has been used to compare against the make-up of our workforce.

Chart 16

**Gender Profile Percentage as at 30 June 2023**

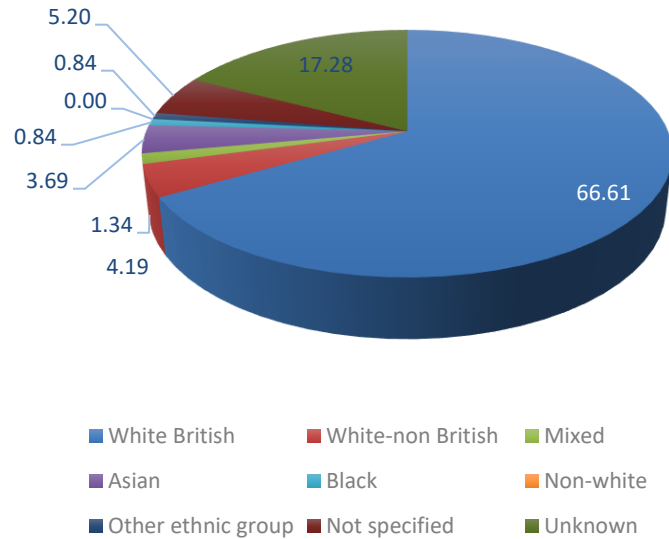


Out of a population of 161,837 within the Cherwell District, the latest census data records that 49.6% are male and 50.4% are female. At CDC, 51.43% of our workforce are male and 48.66% are female meaning it is representative of the district.

At the end of quarter 1 for 2022/23, it was reported that 51.25% of the workforce had not recorded their ethnic background. By quarter 3, this has reduced to 24.14% and by quarter 4 this has reduced further to 18.83%. Quarter 4 of 2022/23 recorded that 80.17% of the workforce have provided this data, with 5.53% preferring not to specify. In quarter 1 of 2023/24, 82.7% of the workforce have provided this data with 5.2% preferring not to specify. Requests continue to be made to the workforce to ensure this data is completed in the HR/Payroll system.

Chart 17 shows a breakdown of ethnicity within CDC. Comparative data has been sought both nationally and from the district and is presented in Table 5.

**Chart 17 Ethnicity Profile Percentage as at 30 June 2023**



**Table 3**

Ethnic Group	England average (%)	Cherwell District (%)	CDC (%) Qtr 4 22/23	CDC (%) Qtr 1 23/24
Asian, Asian British or Asian Welsh	9.3	6.0	3.45	3.69
Black, Black British, Black Welsh, Caribbean or African	4.0	1.8	0.52	0.84
Mixed or multiple ethnic groups	2.9	2.9	1.38	1.34
White	81.7	88.1	69.60	70.81
Other ethnic group	2.1	1.3	0.69	0.84
Not specified	N/A	N/A	5.53	5.20
Unknown	N/A	N/A	18.83	17.28

CDC’s workforce is predominantly white British with 66.61% of the workforce that has recorded their ethnicity in this category.

Table 3 compares the make-up of ethnic groups across the UK and the Cherwell District and then compares this with the make-up of our workforce. The Cherwell District has a higher percentage of residents in the *White* ethnic group than the average across the UK. Of the workforce data recorded, the *White* category for the workforce, whilst has increased slightly in the last quarter, remains 17.29% less than the Cherwell District.

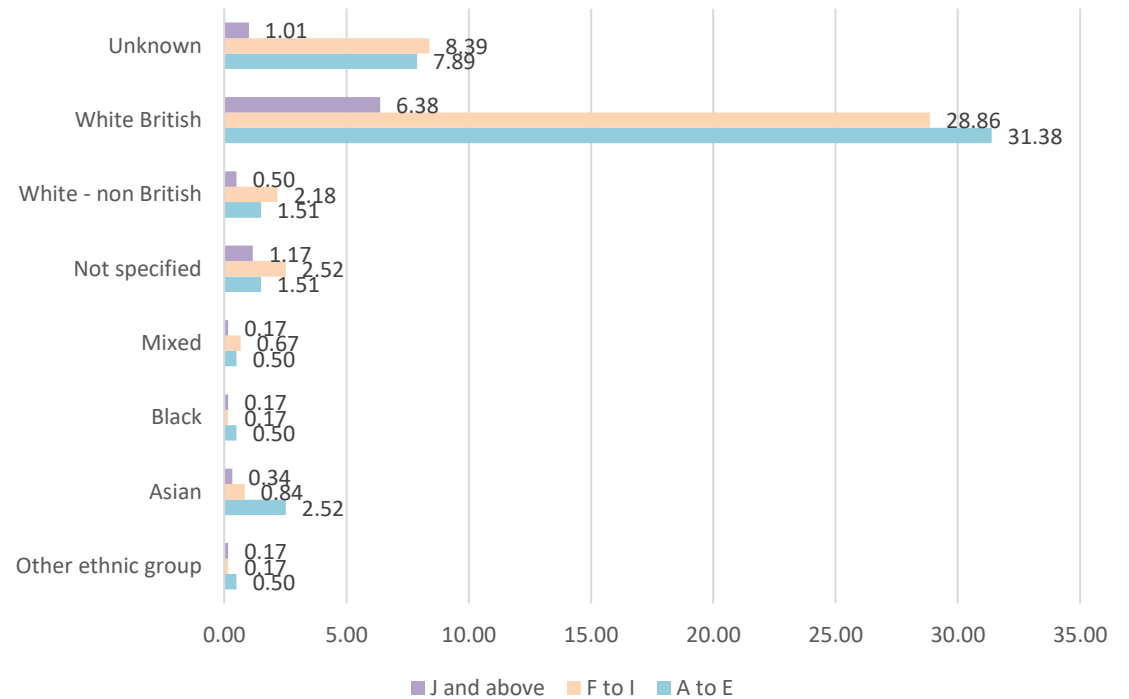
The CDC workforce is slightly under-represented in all the ethnic groups in comparison to the district, with the biggest gaps in the *Asian, Asian British or Asian Welsh* group, which has 2.31% difference, and in the *Black, Black British, Black Welsh, Caribbean or African* group which records a 0.96% difference. Both categories record a slight increase in the last quarter.

The Personnel Committee requested further information on ethnicity by grade across the organisation. The grade bands have been split into 3 categories; A to E who generally have no supervisory or line management responsibilities, F to I; who are typically team leader and supervisory level roles and then J and above which are management grades.

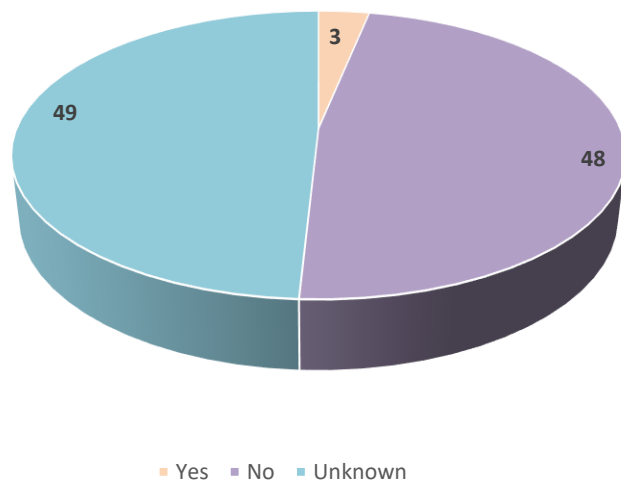
Chart 18 outlines the percentage of employees by ethnic group and grade band.

This is the first quarter we are reporting on disability statistics. Whilst the collection of our data for ethnicity has increased, 49% of our employees have not completed data on disability, as shown in Chart 19. This data is all collected from the same place so the HR Team are committed to completing further follow-up on this in a bid to improve the data collection within this category. Chart 20 shows a breakdown of data relating to disability by grade band.

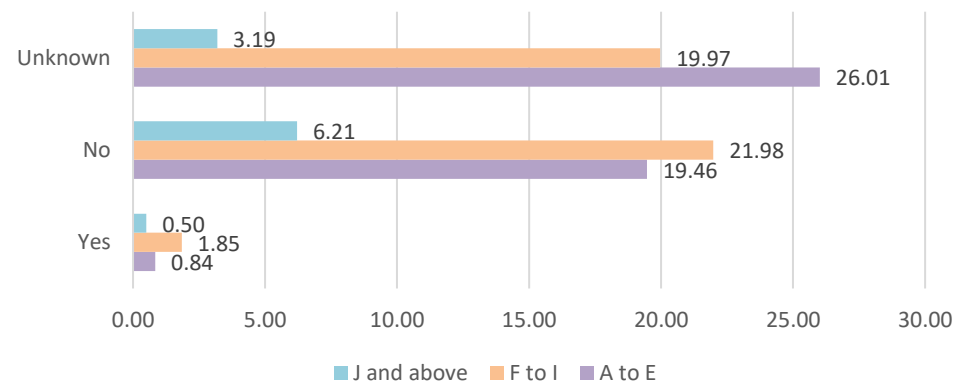
**Chart 18 Ethnic Group Percentage by Grade Band as at 30 June 2023**



**Chart 19 Disability Percentage Profile as at 30 June 2023**



**Chart 20 Disability Percentage by Grade Band as at 30 June 2023**





CDC is a disability confident employer which means we participate in the Department of Work and Pensions Scheme to guarantee interviews to any disabled candidates who meet the essential criteria for our roles. Where disabilities are identified, management and HR work closely with employees and the council's occupational health provider to review any reasonable adjustments that could be put in place to assist the employee in their role.

The Personnel Committee also requested data on sexual orientation for our workforce which is provided at Chart 21.

Within this category, 11% of the workforce have declined to specify and 20% have not completed this data.

As with ethnicity information, sexual orientation data has also been broken down into grade bands and this is shown at chart

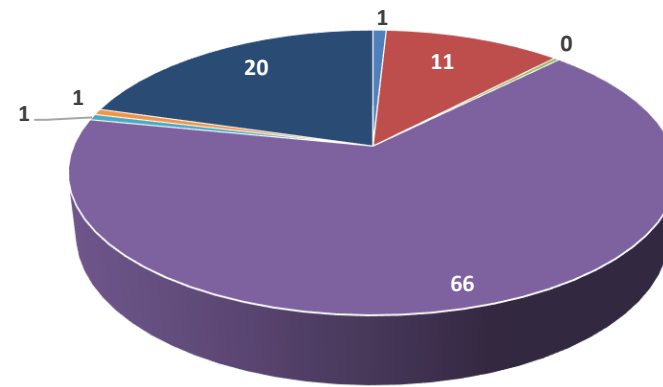
22.

As part of the Equality, Diversity and Inclusivity strategy that was published this year, we have a workforce plan with actions to work through. Data around protected characteristics will continue to be tracked whilst the actions are undertaken, and variations will be provided in future iterations of these statistics.

The HR Team will continue to work with the organisation to gather outstanding data and will continue to update on a quarterly basis.

**Chart 21**

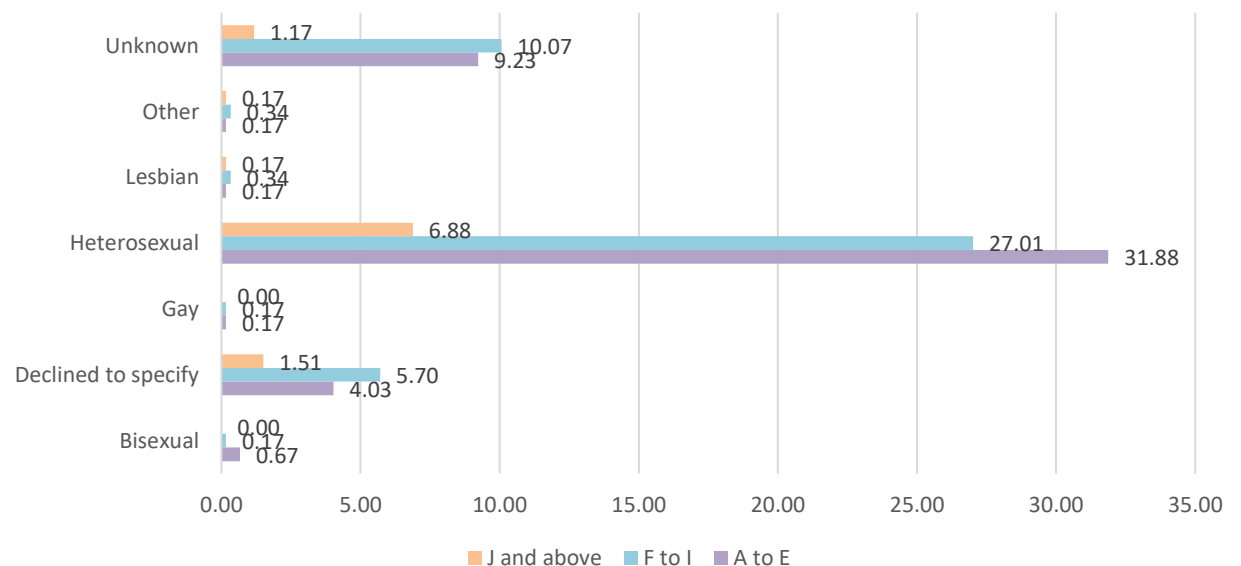
**Sexual Orientation Percentage Profile as at 30 June 2023**



■ Bisexual ■ Declined to specify ■ Gay ■ Heterosexual ■ Lesbian ■ Other ■ Unknown

**Chart 22**

**Sexual Orientation Percentage by Grade Band as at 30 June 2023**



**Apprenticeships within Cherwell District Council as at Quarter 1 – 2023/24**

**Information**

There are 13 apprenticeships currently running within the Council for this quarter, of which 2 are apprentices on programme, employed specifically as apprentices; and the remaining 11 are employees undertaking an apprenticeship as CPD or career progression.

There are currently 8 apprenticeships within the Communities Directorate, 3 within the Chief Executive Directorate and 2 within the Resources Directorate – please see graph.

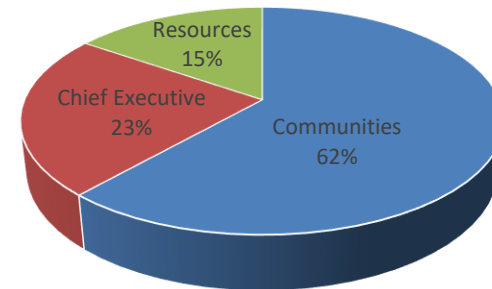
Details of the apprenticeships at the organisation are detailed in the table below. The organisation is using its apprenticeship levy predominantly for upskilling existing staff.

Apprenticeships details below:

Apprenticeship Standard	Level of Apprenticeship	Duration of Apprenticeship	Number of employees on apprenticeship	Apprentice or Employee CPD	Team	Directorate	Cost of Apprenticeships (£)
Autocare Technician	Level 2	2 ½ Years	1	Apprentice	Fleet Management	Communities (1)	12,000
Team Leader/Supervisor	Level 3	1 ½ Years	5	CPD	Sport and Physical Activities (2) Housing Options and Homelessness (1) ICT (1)	Chief Executive (3) Resources (1) Communities (1)	22,500

**Chart 23**

Percentage of Apprenticeships within Directorates



■ Communities ■ Chief Executive ■ Resources

Apprenticeship Standard	Level of Apprenticeship	Duration of Apprenticeship	Number of employees on apprenticeship	Apprentice or Employee CPD	Team	Directorate	Cost of Apprenticeships (£)
					Environmental Protection & Enforcement (1)		
Improvement Practitioner	Level 4	1 ½ Years	1	CPD	ICT	Resources (1)	12,000
Associate Project Manager	Level 4	1 ½ Years	1	CPD	Health Protection and Compliance	Communities (1)	6,000
Building Control Surveyor	Level 6	4 Years	3	CPD	Building Control	Communities (3)	72,000
Chartered Surveyor	Level 6	5 ½ Years	1	Apprentice	Access and Grants	Communities (1)	27,000
Chartered Town Planner	Level 7	2 ½ years	1	CPD	Planning	Communities (1)	19,400
					<b>Total apprenticeship levy committed</b>		<b>170,900</b>

### Future Apprenticeships

The Learning and Development Manager has been attending Directorate Managers meeting to talk about apprenticeships and managers are actively talking with their staff regarding qualifications and apprenticeships and this has resulted in an influx of interest from staff looking at the Chartered Town Planner Level 7, Public Health Practitioner Level 6, Environmental Health Practitioner Level 6, Anti-social Behaviour & Community Safety Officer Apprenticeship Level 4, CIPFA Level 7, Certificate in Housing Level 2. We are now working towards enrolment of staff onto these courses.

**Current amount in the Levy Account**

The Council currently has £144,797 in their levy account. It is estimated that a further £81,293 will be received over the next 12 months, based on funds entering the Council's Apprenticeship service account, including the 10% top up from the government. It is estimated that the Council will spend £47,894 in the next 12 months based on the current apprenticeships within the table above.

**Expired Funds**

To date the Council have not had any expired funds retracted from the levy account.

## **Cherwell District Council**

### **Personnel Committee**

**12 September 2023**

#### **Policy Updates**

#### **Report of Chief Executive**

This report is public

#### **Purpose of report**

To seek approval from the Personnel Committee on proposed changes to existing HR policies.

#### **1.0 Recommendations**

The meeting is recommended:

1.1 To review and approve the following policies for implementation:

- Exit Interview Policy
- Criminal Record Checking Policy and Procedure
- Politically Restricted and Politically Sensitive Posts Policy
- Lone Working Policy

#### **2.0 Introduction**

2.1 The policies outlined above are part of the rolling programme of policy updates that officers are bringing to Personnel Committee for approval as HR systematically work through and refresh all HR-related policies.

2.2 UNISON are also provided with these documents for review and comment. Any feedback received will be shared at the Personnel Committee ahead of these policies being approved.

### **3.0 Report Details**

- 3.1 The approach officers are taking to review all HR policies is to prioritise those needed to reflect changes in legislation and or work practices.
- 3.2 The aim of the review was to simplify the content where possible, removing any unnecessary information and ultimately making them more user friendly for managers and employees to understand and follow them.
- 3.3 The table in Appendix 1 gives an overview of all the proposed changes for each policy.

### **4.0 Conclusion and Reasons for Recommendations**

- 4.1 Officers have updated the policies attached to this report to reflect current legislation and good practice but also to make them much more user friendly and attractive for existing and potential employees. For these reasons officers recommend the committee approves the revised policies.

### **5.0 Consultation**

- 5.1 Unions are consulted on the policies.

### **6.0 Alternative Options and Reasons for Rejection**

- 6.1 The alternative option would be to continue with the existing policies however officers have rejected this as the policies would not reflect current legislation or the Council's objectives of being an attractive, modern employer.

### **7.0 Implications**

#### **Financial and Resource Implications**

- 7.1 In order to mitigate risk it is important that the Council operate with up-to-date policies. The update to these policies are anticipated to be minor and will be managed within existing budgets, as is currently the case.

Comments checked by:

Leanne Lock Strategic Finance Business Partner,

[leanne.lock@cherwell-dc.gov.uk](mailto:leanne.lock@cherwell-dc.gov.uk), 01295 227098

#### **Legal Implications**

- 7.2 This is in accordance with the programme for reviewing policies. There are no legal implications.

Comments checked by:

Shiraz Sheikh, Assistant Director of Law, Governance and Democratic Services and Monitoring Officer, [Shiraz.Sheikh@cherwell-dc.gov.uk](mailto:Shiraz.Sheikh@cherwell-dc.gov.uk)

### **Risk Implications**

7.3 There are no risks arising directly from this report.

Comments checked by:

Natasha Barnes, CSC Service Delivery Manager, 01295 227965

[natasha.barnes@cherwell-dc.gov.uk](mailto:natasha.barnes@cherwell-dc.gov.uk)

### **Equalities and Inclusion Implications**

7.4 There are no EDI implications arising from this report.

Officers have considered EDI implications in suggesting changes to the policies to ensure the council meets its statutory responsibilities under the Equality Act and the commitments in its equalities framework 'Including Everyone'. The policies also allow for some flex so they can be adapted to suit the situation and specific circumstances.

Furthermore, the policies are regularly reviewed and updated to ensure they remain fit for purpose so any future EDI implications can be captured and mitigated against.

Comments checked by:

Natasha Barnes, CSC Service Delivery Manager, 01295 227965

[natasha.barnes@cherwell-dc.gov.uk](mailto:natasha.barnes@cherwell-dc.gov.uk)

### **Sustainability Implications**

7.5 There are no sustainability implications arising directly from this report Comments checked by:

Jo Miskin, Climate Action Manager, 01295 221748, [jo.miskin@cherwell-dc.gov.uk](mailto:jo.miskin@cherwell-dc.gov.uk)

## **8.0 Decision Information**

**Key Decision** N/A

**Financial Threshold Met:** N/A

**Community Impact Threshold Met:** N/A

### **Wards Affected**

N/A

### **Links to Corporate Plan and Policy Framework**

N/A

### **Lead Councillor**

N/A

## **Document Information**

### **Appendix number and title**

- Appendix 1 – Outline of changes to each policy
- Appendix 2 – Exit Interview Policy
- Appendix 3 – Criminal Record Checking Policy and Procedure
- Appendix 4 – Politically Restricted and Politically Sensitive Posts Policy
- Appendix 5 – Lone Working Policy

### **Background papers**

N/A

### **Report Author and contact details**

Claire Cox

Assistant Director of Human Resources

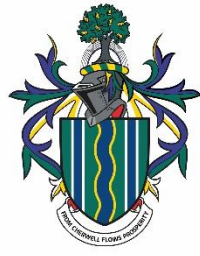
01295 221549

Claire.cox@cherwell-dc.gov.uk



Document	Changes
Exit interview Policy	General tidy up, updated to reflect our new process and streamlined.
Criminal Record Checking Policy and Procedure	Re-written to cover more than just DBS, we now cover criminal record checking.
Politically Restricted and Politically Sensitive Posts Policy	Reviewed and updated, and removal of references to Oxfordshire County Council posts.
Lone Working	Reviewed and updated to ensure clarity of responsibilities and processes when lone working.

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*Cherwell*

DISTRICT COUNCIL  
NORTH OXFORDSHIRE

# Exit Interview Policy

## Appendix 2

### DOCUMENT CONTROL

<b>Organisation(s)</b>	Cherwell District Council (CDC)
<b>Policy title</b>	Exit Interview Policy
<b>Owner</b>	Human Resources
<b>Version</b>	1.0
<b>Date of implementation</b>	13 September 2023

### DOCUMENT APPROVALS

This document requires the following committee approvals:

<b>Committee</b>	<b>Date of meeting pending approval</b>
Personnel Committee	12 September 2023

### DOCUMENT DISTRIBUTION

This document will be distributed to all employees of Cherwell District

### DATE FOR REVIEW

No later than 1<sup>st</sup> November 2026 but sooner if impacted by legislative changes.

### REVISION HISTORY

<b>Version</b>	<b>Revision date</b>	<b>Summary of revision</b>

## Appendix 2

### Contents

- 1 Introduction
- 2 The Procedure
- 3 Data Protection

### 1. Introduction

- 1.1 Exit questionnaires and interviews provide valuable feedback on how well we are performing as an employer. They help us identify where change is necessary to improve the employment experience we offer.
- 1.2 The Council's policy on the use of Exit Interviews is designed to support this aim by monitoring the reasons why employees leave the Council and managing actions to ensure that the Council is a satisfying place to work.
- 1.3 Exit interviews are voluntary and no employee will be forced to take part against their wishes.

### 2. The Procedure

- 2.1 Following receipt of an employee's resignation letter, Human Resources will write and acknowledge receipt. Within this letter a date will be arranged for an exit interview. This meeting will be booked, usually via MS Teams although can be face-to-face if required with the outgoing member of staff and their relevant HR Business Partner.
- 2.2 At the same time an exit questionnaire will be added to the outgoing member of staffs iTrent Employee Self Service (ESS). The employee will need to complete the questionnaire prior to the exit interview.
- 2.3 The purpose of the exit interview is to gather information around why the employee has decided to leave the council and any feedback on their experience whilst working at the Council. All responses at the exit interview will be treated confidentially, they will not prejudice references and the information will be used in general analysis. The HR Business Partner will request permission from the employee to share exit interview responses with their management team. Should any allegations be made that give cause for concern, the Council will be obliged to investigate further.
- 2.4 The exit interview should not be time constrained and should take as long as both parties feel is necessary for a full and honest discussion.
- 2.5 All information obtained during an exit interview will be treated in confidence unless the employee wishes any action to be taken. General information from the exit questionnaire will be used to produce monitoring information for consideration by the corporate leadership team (CLT).

### 3. Data Protection

- 3.1 Cherwell District Council is interested in understanding the real reasons as to why employees leave. The information provided will help in reviewing the requirements of the job, terms, and conditions etc.
- 3.2 All data will be held securely and used only to produce for monitoring information.



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# **Criminal Record Checking Policy and Procedure**

## Appendix 3

### DOCUMENT CONTROL

<b>Organisation(s)</b>	Cherwell District Council (CDC)
<b>Policy title</b>	Criminal Record Checking Policy and Procedure
<b>Owner</b>	Human Resources
<b>Version</b>	1.0
<b>Date of implementation</b>	13 September 2023

### DOCUMENT APPROVALS

This document requires the following committee approvals:

<b>Committee</b>	<b>Date of meeting pending approval</b>
Personnel Committee	12 September 2023

### DOCUMENT DISTRIBUTION

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### DATE FOR REVIEW

No later than 13 September 2026 but sooner if impacted by legislative changes.

### REVISION HISTORY

<b>Version</b>	<b>Revision date</b>	<b>Summary of revision</b>

## Appendix 3

### CONTENTS

1. Introduction
2. Types of worker and requirement for DBS checking
3. Rehabilitation of Offenders Act 1974
  - Spent convictions
  - Failure to disclose information
  - Professions, occupations and activities eligible for DBS checks
4. Levels of DBS checks
  - Basic checks
  - Standard checks
  - Enhanced checks
  - Enhanced checks with Children's and / or Adults' Barred list check(s)
5. Requesting a DBS check
6. DBS Update Services
7. Portability of Criminal Record Certificates and rechecking of existing council workers and volunteers
8. Rechecking
9. Receiving results of DBS checks
10. Requirement for employees and volunteers to inform the council of potential or actual criminal involvement
11. Criminal cases pending at the time of application for employment or volunteering
12. Confidentiality and Records

#### **Appendix 1**

Categories of offences which may lead to refusal to appoint or require a risk assessment before an appointment decision can be made

#### **Appendix 2**

Examples of the professions, offices and employment listed under the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975

#### **Appendix 3**

Eligibility criteria for requiring Enhanced Criminal Record certificates

#### **Appendix 4**

Regulated Activity in relation to children and vulnerable adults

## Appendix 3

### 1. Introduction

This policy applies to all eligible employees (including agency/locum worker, casual workers, apprentices, volunteers, student placements where eligible), who are working in regulated activity or those identified in the Rehabilitation of Offenders (Exemption) Order.

The aim of this policy is to provide a fair and consistent framework for checking criminal record information, ensuring those responsible for recruitment and management understand their responsibilities, the activities and jobs that are eligible for DBS checks and the information they can legally ask applicants to disclose.

This policy also ensures those subject to criminal record checking understand the information they are required to provide and how the information will be handled.

The council requires criminal record checks for people applying to work or volunteer in certain work settings or for certain types of jobs, such as to work with children, young people and vulnerable adults.

Checking criminal records is one of a range of measures that help the council make safe recruitment decisions and protect those using its services, the public and public funds from the risk of criminal activity and abuse.

Individuals are informed when applying for work or volunteering with the council, what information they are required to disclose about criminal convictions and whether the role is eligible for criminal record checks.

Applications for Criminal Record Certificates (DBS checks) are processed via the Human Resources Department at Cherwell District Council, as the registered body and are handled in accordance with the [DBS code of practice](#). Criminal Record Certificates will be referred to as DBS checks throughout this policy.

The council will only ask applicants for criminal record information and apply for DBS checking that is permissible by law for the role.

The council undertakes not to unfairly discriminate against anyone who is subject to a criminal record check on the basis of a conviction or other information revealed.

Having a criminal record will not normally automatically bar an individual from working for the council. The facts will be carefully considered, and the council will discuss the offences disclosed with the individual and assess the risks before making a decision. **Appendix 1** provides categories of offences that may lead to refusal to appoint.

Any information revealed as part of criminal record checking, will be dealt with in accordance with the Data Protection Act 2018 and any other provisions.

### 2. Types of worker and requirement for DBS checking

DBS checks are required for anyone applying to carry out certain jobs or activities regardless of whether they are applying for:

- Permanent, temporary or casual employment
- Volunteering
- An assignment as an agency/locum worker

## Appendix 3

- An apprenticeship
- A student placement

### Contractors

Where the council enters into contracts with external organisations which employ staff for the provision of services on the council's behalf, it will ensure that the contractor's employment systems comply with this policy.

### Agency Workers

For agency workers it is the responsibility of the employing agency to ensure that appropriate criminal record checking is carried out to comply with this policy. A DBS check must have been processed within 12 months of the start date of the temporary agency assignment. If during the duration of the booking the DBS certificate date looks likely to exceed 12 months, a new application (or DBS Update Service check) must be processed by the employing agency. Council managers are responsible for verifying with the employing agency that satisfactory checks have been carried out and for examining the original of the Criminal Record certificate before an agency worker starts work.

### Students on placement

**70 or 100 day placements:** Students on placement with the council, carrying out work eligible for criminal record checks, are subject to the same criminal record checking requirements as other workers. A fresh DBS check is required before the placement starts. This requirement can be satisfied via the DBS Update Service, if the certificate held is for the appropriate level of check and is for the same workforce e.g. adults or children's.

**Short term observational placements:** Where students join the council on short term observational placements of up to 5 days, where they will be supervised at all times, the council will accept the DBS check carried out by the university accompanied by a declaration from the student that their criminal record status has not changed. The line manager must check the DBS certificate before the placement starts.

Where criminal offences are disclosed for students, their placement offer will be subject to a risk assessment and approval from the Assistant Director of Human Resources.

### 3. Rehabilitation of Offenders Act 1974

All applicants for work with the council are required to disclose, as part of their application, details of any unspent criminal convictions or cautions, and when applying for certain eligible roles, details of convictions or cautions that are classed as 'spent' under the Rehabilitation of Offenders Act 1974.

#### Spent convictions

The [Rehabilitation of Offenders Act 1974 \(ROA\)](#) allows most convictions and all cautions to be considered 'spent' after a specified 'rehabilitation' period.

Once a caution or conviction is spent, the ROA treats a rehabilitated person as if they had never committed or been convicted for the offence. The individual has the right not to disclose information about the spent conviction when applying for jobs, unless they are applying for a job or to undertake activities that are listed under the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975. See **Appendix 2**.

Convictions never become spent if they involve either a custodial sentence of over four years or a public protection sentence imposed for specified sexual and violent offence.

#### Failure to disclose information

## Appendix 3

Failure by applicants to disclose information about criminal convictions, where required, is likely to result in an offer of employment being withdrawn or disciplinary action being taken for existing council employees, which may result in dismissal. Other legal action may be taken if appropriate.

If applicants have any concerns about what to disclose then they are advised to seek their own independent legal advice. The charity [NACRO](#) provides support and advice to ex-offenders and employers.

### **Professions, occupations and activities eligible for DBS Checks**

The council will ensure that it only requests DBS checks for roles that it is legally entitled to and will ensure the level of Criminal Record check requested is relevant to the type of work being undertaken.

#### **4. Levels of DBS checks**

**Basic Checks** - these checks provide details of unspent convictions only. This Basic Check, in accordance with the government's [Baseline Personnel Security Standard](#) (BPSS), is required for council roles that have access to the Public Service Network (PSN).

**Standard checks** – these checks provide information about spent and unspent convictions. To be eligible for a standard level DBS check, the position must be included in the Rehabilitation of Offenders Act (ROA) 1974 (Exceptions) Order 1975. See **Appendix 2** for common council occupations and professions listed in the Exceptions Order and that are eligible for Standard Checks.

**Enhanced checks** – this includes the same information as the standard check plus any additional information held by local police that's reasonably considered relevant to the role being applied for. To be eligible for an enhanced level DBS check, the position must be included in both the ROA Exceptions Order **and** the Police Act 1997 (Criminal Records) regulations. See **Appendix 3** for examples of occupations and professions eligible for enhanced DBS checks.

**Enhanced checks with Children's and/or Adults' Barred List check(s)** - This is like the enhanced check but includes a check against the Children's and/or Adults' [Barred Lists](#) for certain roles that involve what is termed '*regulated activity*'. These are lists of individuals identified as unsuitable for working with children and/or vulnerable adults.

To be eligible to request a check against the Children's or Adults' Barred Lists, the position must be eligible for an Enhanced DBS check and be specifically included in the Police Act 1997 (Criminal Records) regulations.

**Appendix 4** provides a typical list of activities and roles that are defined as "regulated" under the Act.

The Disclosure and Barring Service online tool can also be used to check if a role is eligible for a DBS check. <https://www.gov.uk/find-out-dbs-checkht>

It is unlawful to request a Barred List check on individuals who are not going to be engaged in regulated activity.

### **Criminal offences not disclosed by the Disclosure and Barring Service**

The DBS remove certain old and minor offences from Criminal Record certificates in line with legislation introduced in May 2013. This is referred to as 'filtering'. Guidance about

## Appendix 3

offences that are filtered from Criminal Record certificates can be found here [DBS filtering guidance - GOV.UK.](#)

### 5. Requesting a DBS check

Before initiating a criminal record check, recruiting managers must satisfy themselves that the position is eligible for a check under this policy and current legal provisions and establish the relevant level of check that can be requested.

Recruiting managers must verify the applicant's identity before initiating the DBS check by examining and taking copies of certain documents - see [DBS ID checking guidelines.](#)

### 6. DBS Update Service

Wherever possible and with an applicant's consent, the council will use the [DBS Update Service](#) to check applicants' criminal record status, including for external applicants, if the certificate is for the same workforce e.g. children's or adults, and is the correct level for the role e.g. standard, enhanced or enhanced with barred list check.

### 7. Portability of Criminal Record Certificates and rechecking of existing council workers and volunteers

#### Existing council staff (including casual workers) changing jobs/roles

If an employee or casual worker, does not have a Criminal Record Certificate and moves to an eligible role, they cannot start in the post until a satisfactory check has been received, unless certain criteria are met and the relevant Assistant Director gives approval (see Receiving results of DBS checks below).

Where council staff move to jobs that require a Criminal Record check, and they already hold a Criminal Record certificate, this will be accepted provided that:

- a) it covers the same workforce e.g. adults or children's and the relevant barred list check (where this is required) and;
- b) the employee has been continuously employed with the council, with a gap of no more than three months, for the period since the certificate was issued, and;
- c) the certificate is not due for re-checking under council's policy, and;
- d) the employee can provide the original certificate to the Recruiting Manager for examination and;
- e) where convictions are disclosed, a risk assessment is carried out and approval has been given by the Assistant Director to proceed with the appointment.

#### Portability for casual workers and volunteers

Where casual workers or volunteers have a break in periods of work or volunteering, of three months or more, a re-check of their criminal record status is required either via the DBS Update Service (if registered) or by undertaking a fresh DBS check.

Casual workers and volunteers will be subject to a DBS check if they are offered temporary or permanent employment in an eligible role. Where they hold a DBS Certificate, this may be accepted if all the criteria set out in paragraph 35 is met.

At the point of applying for a DBS check, casual workers and volunteers will be encouraged to register with the DBS Update Service. This allows portability of their DBS

## Appendix 3

certificate and future criminal record status checks to be carried out where, for example, they have gaps in work or move to different roles in the council. There is a small annual fee to register with the Update Service but is free for volunteers.

### 8. Re-checking

Employees working in regulated activity with children are subject to a DBS check every three years. This includes all staff that require an enhanced check plus children's barred list check. Drivers who are responsible for transporting children (including taxi and coach drivers) will also be subject to a DBS recheck. (See Annex 4 on regulated activity).

Managers have the discretion to request a recheck at any time if they have cause for concern about an employee's criminal record status.

All employees are responsible for notifying their manager immediately if their criminal record status changes, including driving offences. Employees in roles eligible for DBS checks, including volunteers, that are not working in regulated activity with children will not be subject to DBS rechecking but will be asked annually by their manager to confirm their criminal record status is unchanged.

### 9. Receiving results of DBS checks

Criminal Record certificates are issued directly to the individual, who must then show an original of the certificate to a member of the Human Resources Team.

These certificates will include information about any criminal convictions and cautions part from those minor and old offences that are 'filtered' - see 'Enhanced Checks'.

Where criminal offence information is disclosed, the Line Manager will meet with the employee or applicant to gather information about the conviction, carry out a risk assessment and seek approval from their Deputy Director to proceed with the appointment or employment if this is appropriate. See guidance on carrying out a risk assessment. Approved risk assessment forms must be uploaded on the employee electronic personnel file (EPF) where appropriate.

### 10. Requirement for employees and volunteers to inform the council of potential or actual criminal involvement

Employees and volunteers of the council are required to notify their manager immediately if they are under investigation, charged, convicted, cautioned, reprimanded or warned in relation to any criminal offence. This will be investigated and may result in formal action. Where an individual fails to notify their manager, this will be treated as a disciplinary offence and may result in dismissal. There may be separate requirements imposed on the employee or volunteer to notify a regulatory or professional body as well. This requirement is not covered in this policy

### 11. Criminal cases pending at the time of application for employment or volunteering

Where an applicant is under investigation, charged, convicted, cautioned, reprimanded or warned in relation to any criminal offence or has criminal proceedings pending at the time an application for a job is made, full consideration will be given to the individual case before deciding on any offer of employment. Failure to disclose any pending investigation may result in disciplinary action.



## Appendix 3

### Starting work before a DBS check has been received

Where appointments are subject to a satisfactory DBS check, (including for internal candidates), individuals will not normally be able to start work until this is in place.

In exceptional circumstances, where there are critical service needs, permission may be given by the relevant Deputy Director for an appointee to start work only if:

all other pre-employment checks are in place and,  
a risk assessment is undertaken and establishes that there is low risk and,  
for all persons working in schools, a children's barred list has been carried out.

**Important:** Under no circumstances can appointees start work in residential settings or in one to one or unsupervised situations, until a satisfactory, up to date DBS check has been received.

### 12. Confidentiality and records

The council complies fully with its obligations under the Data Protection Act 2018 and other relevant legislation pertaining to the safe handling, use, storage, retention and disposal of certificate information.

In accordance with section 124 of the Police Act 1997, certificate information is only passed to those who are authorised to receive it in the course of their duties. We maintain a record of all those to whom certificates or certificate information has been revealed but do not pass this information to anyone who is not entitled to receive it.

Once a recruitment (or other relevant) decision has been made, the council do not keep photocopies of Criminal Record certificates for any longer than is necessary. This is generally for a period of up to six months, to allow for the consideration and resolution of any disputes or complaints. The Criminal Record Check serial number and date of issue from the Criminal Record certificates will be retained within Human Resources.

## Appendix 3

### Appendix 1

#### Categories of offences which may lead to refusal to appoint or require a risk assessment before an appointment decision can be made.

For advice contact the HR department on [humanresources@cherwell-dc.gov.uk](mailto:humanresources@cherwell-dc.gov.uk).  
Guidance on carrying out a risk assessment can be found [here](#).

#### Working with children, young people and vulnerable adults

<b>Sexual offences- convictions for these offences will normally disqualify applicants:</b>
Any sexual offence involving a child or a vulnerable adult.
Any sexual offence involving violence or the misuse of drugs
Any sexual offence involving organising sexual activity.
<b>An assessment of risk will be undertaken when considering applicants with convictions:</b>
Where the applicant was convicted of sex with an under-age person when they themselves were of a similar age.
Other sexual offences.
<b>Violent offences - convictions for the following offences will normally disqualify applicants:</b>
Any violent offence against a child or vulnerable adult.
Murder, manslaughter, grievous bodily harm, aggravated bodily harm.
Violent sexual offences.
Domestic violence
<b>An assessment of risk will be undertaken when considering applicants with convictions for the following:</b>
Actual bodily harm, wounding, assault and battery
Possessing an offensive weapon.
Death by reckless or dangerous driving.
Any other violent offences

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<b>Offences relating to alcohol and drugs - convictions for the following offences will normally disqualify applicants:</b>
Any offence relating to dealing, cultivating or supplying controlled drugs or substances.
An assessment of risk will be undertaken when considering applicants with convictions for:
Possession of a class A, B or C drugs.
Offences involving supplying alcohol to young people and children.
Repeated offences involving alcohol.
Being drunk or under the influence of drugs in charge of a motor vehicle. This will be a serious matter where jobs involve driving or transporting others.
Other offences involving alcohol or drugs.
<b>Offences involving theft and dishonesty- convictions for the following offences will normally disqualify applicants:</b>
Any offence involving theft or dishonesty with a child or vulnerable adult.
Any offence involving theft or dishonesty, including benefit fraud, and associated violence.
Burglary, aggravated burglary, robbery, blackmail, going equipped to commit burglary.
Other convictions involving dishonesty will be subject to a risk assessment.
<b>Offences relating to misuse of the intranet or records</b>
Convictions for misuse of the internet or records, involving child or other illegal pornography, using records for purposes of abusing others or involving violence or racism or similar will normally disqualify an applicant for appointment.
Conviction for the misuse of information.
<b>Other relevant matters which relate to children and young people - the following will normally disqualify an applicant from appointment:</b>
Any offence against children, young people or other vulnerable adults.
An assessment of risk will be undertaken for applicants declaring:
That they have had a child taken into care, placed under a safety order for reasons relating to abuse or neglect.
They have been dismissed from employment due to misconduct.

*For employment and volunteering not involving working with children or vulnerable adults only unspent convictions can be taken into account.*

### Appendix 2

#### **Examples of the professions, offices and employment listed under the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.**

*This is not a comprehensive list but gives an indication of the types of council employment included in the Exceptions Order.*

1. Any employment by a local authority in connection with the provision of social services or by any other body in connection with the provision by it of similar services, being employment which is of such a kind as to enable the holder to have access to any of the following classes of person in the course of their normal duties:
  - Persons under the age of 18 or over the age of 65;
  - Persons suffering from serious illness or mental disorder of any description;
  - Persons addicted to alcohol or drugs;
  - Persons with sensory impairments;
  - Other persons who are substantially and permanently disabled.
2. Any employment by a youth club, local authority or other body which is concerned with the promotion of leisure or recreational activities for persons under the age of 18, being employment which is of such a kind as to enable the post holder to have access to such persons in the course of their normal duties.
3. Any employment or other work which is carried out for the purposes of an adoption service, an adoption support agency a voluntary adoptions agency, a fostering service or a fostering agency and which is of such a kind as to enable a person, in the course of his normal duties, to have contact with children or access to sensitive or personal information about children.
4. Any employment or office which is concerned with the management of a childminder agency or any work for a childminder agency which is of such a kind as to require the person engaged in that work to enter day care premises or premises on which child minding is provided as to enable the person, in the course of their normal duties, to have contact with children for whom child minding or day care is provided or access to sensitive or personal information about children for whom childminding or day care is provided.
5. Employment in healthcare professions (including medical practitioners, dentists, nurses, midwives, optometrists, registered pharmacists and osteopaths).
6. Employment in the legal profession (including barristers, solicitors).

### Appendix 3

#### Eligibility criteria for requiring Enhanced Criminal Record certificates

To be eligible for an Enhanced Criminal Record Certificate the activity must be listed in the Rehabilitation of Offenders Act (ROA) 1974 (Exceptions) Order 1975 and the Police Act 1997 (Criminal Records) regulations (as amended).

*Examples include:*

- Positions which involve regularly caring for, training, supervising or being solely in charge of, persons aged under 18;
- Positions which involve regularly caring for, training, supervising or being solely in charge of a person aged 18 or over who is a vulnerable adult in accordance with the Police Act 1997 (as amended).
- Registration for child minding or providing day care.
- Social Workers.
- Positions responsible for placing children with foster parents in accordance with any provision of, or made by virtue of, the Children Act 1989 or the Children (Northern Ireland) Order 1995 or the exercise of any duty under or by virtue of, section 68 of that Act or article 108 of that Order (welfare of privately fostered children);
- A decision made by an adoption agency within the meaning of section 2 of the Adoption and Children Act 2002 (b) as to a person's suitability to adopt a child;
- Positions in a school within the meaning of section 4 of the Education Act 1996).

**Appendix 4**

**Regulated activity in relation to children and vulnerable adults**

To be eligible to request a check against the **Children’s or Adults’ Barred Lists**, the position must be eligible for an Enhanced DBS check and be specifically included in the Police Act 1997 (Criminal Records) regulations as "*regulated activity*".

Regulated activity is work that a barred person must not do.

The table below summarises "Regulated Activity" in relation to Children. For exceptions and more detailed information read the Department of Education's documents [Keeping Children Safe in Education](#).

An activity is regulated activity in relation to **children** if carried out:

In one of the following establishments;

- Frequently (once a week or more often), or on 4 or more days in a 30-day period;
- By the same person, engaged in work for or in connection with the purposes of the establishment; and
- It gives the person the opportunity, in their work, to have contact with children.

<b>Activities</b>	<b>Establishment</b>
<ul style="list-style-type: none"> <li>• Teaching</li> </ul>	Schools/Academies
<ul style="list-style-type: none"> <li>• Training</li> </ul>	
<ul style="list-style-type: none"> <li>• Instructing</li> </ul>	Pupil Referral units
<ul style="list-style-type: none"> <li>• Caring</li> </ul>	
<ul style="list-style-type: none"> <li>• Provision of Personal Care</li> </ul>	Nursery Schools
<ul style="list-style-type: none"> <li>• All forms of Health Care relating to physical or mental health</li> </ul>	Institutions for the detention of children
<ul style="list-style-type: none"> <li>• Supervision of children</li> </ul>	
<ul style="list-style-type: none"> <li>• Provision of advice/guidance on well-being</li> </ul>	Childrens Homes
<ul style="list-style-type: none"> <li>• Driving a vehicle only for children</li> </ul>	
<ul style="list-style-type: none"> <li>• Provision of treatment or therapy</li> </ul>	Childrens Centres
<ul style="list-style-type: none"> <li>• An Office Holder, e.g. Governor; Commissioner of Services; Contract Monitoring; Councillor</li> </ul>	Childcare premises
<ul style="list-style-type: none"> <li>• Providing occasional or temporary services</li> </ul>	
	Childrens Library

## Appendix 3

<ul style="list-style-type: none"><li>• Activities that allow contact with children (includes volunteers) with supervision at a reasonable level</li><li>• Providing legal advice</li><li>• Moderating a public electronic interactive communication service likely to be used wholly or mainly by children, carried out by the same person frequently (one a week or more often), or on 4 or more days in a 30-day period where the person has access to the content of the matter, or contact with users.</li></ul>	
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

Day to day management or supervision on a regular basis of a person providing the above regulated activity for children is regulated activity for children.

The table below summarises "Regulated Activity" in relation to **vulnerable Adults**. For exceptions and more detailed information read the Department of Health's document "[Regulated activity \(adults\)](#)".

There are six categories within the new definition of regulated activity.

### Providing Health Care

The provision of health care by any health care professional to an adult, or the provision of health care to an adult under the direction or supervision of a health care professional, is regulated activity.

- a. A health care professional is a person who is regulated by any of the following professional regulators:
  - General Medical Council
  - General Dental Council
  - General Optical Council
  - General Osteopathic Council
  - General Chiropractic Council
  - General Pharmaceutical Council
  - Pharmaceutical Society of Northern Ireland
  - Nursing and Midwifery Council
  - Health Professions Council
- b. Health care includes all forms of health care provided for adults, whether relating to physical or mental health, and includes palliative care. This includes diagnostic tests and investigative procedures. Health care also includes procedures that are similar to forms of medical or surgical care that are not provided in connection with a medical condition. An example of this is taking blood from a blood donor or cosmetic surgery.

The provision of psychotherapy and counselling to an adult which is related to health care the adult is receiving from, or under the direction or supervision of, a health care

## Appendix 3

professional, is regulated activity. This would include the provision of psychotherapy and counselling over the telephone. Life coaching is excluded.

First aid, when any person administering the first aid is doing so on behalf of an organisation established for the purpose of providing first aid (for example, St John Ambulance Service), is regulated activity. This includes first aid given by Community First Responders.

### **Providing Personal Care**

Anyone who provides an adult with physical assistance with eating or drinking, going to the toilet, washing or bathing, dressing, oral care or care of the skin, hair or nails because of the adult's age, illness or disability, is in regulated activity.

Anyone who prompts and then supervises an adult who, because of their age, illness or disability, cannot make the decision to eat or drink, go to the toilet, wash or bathe, get dressed or care for their mouth, skin, hair or nails without that prompting and supervision, is in regulated activity.

Anyone who trains, instructs or provides advice or guidance which relates to eating or drinking, going to the toilet, washing or bathing, dressing, oral care or care of the skin, hair or nails to adults who need it because of their age, illness or disability, is in regulated activity.

There is one exception to this. Excluded from regulated activity is any physical assistance provided to an adult in relation to the care of their hair when that assistance relates only to the cutting of the adult's hair. This is to ensure that hairdressers who cut the hair of patients and residents in hospitals and care homes are not engaging in regulated activity.

### **Providing Social Work**

The activities of regulated social workers in relation to adults who are clients or potential clients are a regulated activity. These activities include assessing or reviewing the need for health or social care services and providing ongoing support to clients.

### **Assistance with general household matters**

Anyone who provides day to day assistance to an adult because of their age, illness or disability, where that assistance includes at least one of the following, is in regulated activity:

- a. managing the person's cash,
- b. paying the person's bills, or
- c. shopping on their behalf.



## Appendix 3

### Assistance in the conduct of a person's own affairs

Anyone who provides assistance in the conduct of an adult's own affairs by virtue of:

- Lasting power of attorney under the Mental Capacity Act 2005
- Enduring power of attorney within the meaning of the Mental Capacity Act 2005
- Being appointed as the adult's deputy under the Mental Capacity Act 2005
- Being an Independent Mental Health Advocate
- Being an Independent Mental Capacity Advocate
- Providing independent advocacy services under the National Health Service Act 2006 or National Health Service (Wales) Act 2006
- Receiving payments on behalf of that person under the Social Security Administration Act 1992
- is in regulated activity.

### Conveying

1. Any drivers and any assistants who transport an adult because of their age, illness or disability to or from places where they have received, or will be receiving, health care, relevant personal care or relevant social work, are in regulated activity. The driver does, or the person assists in, such conveying on behalf of an organisation and for the purpose of enabling the adult to receive services. The meaning of health care, relevant personal care and relevant social work are discussed above.
2. In addition, hospital porters, Patient Transport Service drivers and assistants, Ambulance Technicians and Emergency Care Assistants who transport an adult because of their age, illness or disability to or from places where they have received, or will be receiving, health care, relevant personal care or relevant social work, are also in regulated activity.
3. Conveying does not include licensed taxi drivers or licensed private hire drivers and does not include trips taken for purposes other than to receive health care, personal care or social work (for example, trips for pleasure are excluded).





*Cherwell*

DISTRICT COUNCIL  
NORTH OXFORDSHIRE

**Politically Restricted  
and  
Politically Sensitive Posts  
Policy**

## DOCUMENT CONTROL

<b>Organisation(s)</b>	Cherwell District Council (CDC)
<b>Policy title</b>	Politically Restricted & Politically Sensitive Posts Policy
<b>Owner</b>	Human Resources
<b>Version</b>	1.0
<b>Date of implementation</b>	13 September 2023

## DOCUMENT APPROVALS

This document requires the following committee approvals:

<b>Committee</b>	<b>Date of meeting pending approval</b>
CDC Personnel Committee	12 September 2023

## DOCUMENT DISTRIBUTION

This document will be distributed to all employees of Cherwell District Council.

## DATE FOR REVIEW

No later than 13 September 2026 but sooner if impacted by legislative changes.

## REVISION HISTORY

<b>Version</b>	<b>Revision date</b>	<b>Summary of revision</b>

1. Under the provisions of the Local Government and Housing Act 1989 (as amended) certain officers of local authorities are subject to restrictions on the political activities they are able to undertake. In addition the Local Government Officers (Political Restrictions) Regulations 1990 specify certain other political activities which the holder of a politically restricted or politically sensitive post cannot undertake.
2. **Category A. Politically Restricted Posts**  
If posts are categorised as politically restricted, the holders are prevented under their terms of employment from having any active political role both inside and outside the Council. More particularly they will not be able to hold or stand for elected political office. They will also be prevented from taking part in political activities, publicly expressing support for a political party or candidate and speaking to the public at large or publishing any written work that could give the impressions they were advocating support for a particular political party.
3. The following posts as defined in the 1989 act are specified as being automatically politically restricted and have no right of appeal against their restriction:
  - Head of Paid Service
  - Monitoring Officer
  - Assistant Director of Finance and Section 151 Officer
  - Corporate Directors
  - Assistant Directors (Direct report to statutory or non-statutory chief officers)
  - Non-statutory Chief Officers (Direct report to Head of Paid Service or to a committee)
  - Political Assistants
  - Officers shown in the scheme of delegation exercising delegated powers

Officers whose duties are solely secretarial or support services are not regarded as a non-statutory chief officer or a deputy chief officer.

#### 4. **Category B. Politically Sensitive Posts**

A sensitive post is one which meets one or both of the following criteria:

- A) Giving substantive advice on a regular basis to the Council itself, to any Committee or Sub-Committee of the Council or to any joint committee on which the Council are represented; or to the Executive of the council; to any Committee of that Executive.
- B) Speaking on behalf of the council on a regular basis to journalists or broadcasters

It is the responsibility of the Head of Paid Service to determine who should be on the list and deal with applications from post holders to be exempted from the list of sensitive posts. The following guidance was issued in a circular from the Secretary of State to assist in determining which posts are sensitive.

*"It is sometimes suggested that because a post holder gives advice to elected members on a regular basis, that officer's post is [politically sensitive]. This is not so. The advice which is given must be provided to the authority itself (i.e.*

*the full council); to a committee, sub-committee or joint committee; to the Executive; or to a committee or member of the Executive.*

*...something more than an occasional attendance to present a formal report to a committee is needed to establish that advice is given on a regular basis”.*

*Previously the former adjudicator of politically sensitive posts had suggested looking at the number of times over the previous twelve months that the post holder had provides a report to or attended the Executive or the authority or its committees. Also at the contents of reports including whether the report embodied advice or recommendations and whether the post holder was required to speak at the meeting.*

## 5. **Restricted Activities**

Politically restricted and politically sensitive posts shall not:

- Become by election or otherwise or remain a member of a principal local authority, e.g. this does not include parish councils.
- Announce or cause, authorise or permit anyone else to announce he is, or intends to be, a candidate for election to parliament, European parliament, elected Mayor, Police and Crime Commissioner or principal local authority.
- Act as an election agent or sub-agent in a parliamentary, European parliamentary, Mayoral, Police and Crime Commissioner or principal local authority election.
- Be an officer of a political party or of any branch of such a party or a member of any committee or sub-committee of such a party if his duties as such an officer or member would be likely to require him:
  - To participate in the general management of the party or the branch; or
  - To act on behalf of the party or branch in dealings with persons other than members of the party or members of another political party associated with the party
- Canvass on behalf of a political party or on behalf of a person who is, or proposes to be, a candidate for election to parliament, European parliament, elected Mayor, Police and Crime Commissioner or principal local authority.

Other than a political assistant, politically restricted and politically sensitive posts shall not:

- Speak to the public at large or to a section of the public with the apparent intention of affecting public support for a political party.
- Publish any written or artistic work of which he is the author (or one of the authors) or any written work or collection of artistic works in relation to which he has acted in an editorial capacity; or cause, authorise or permit any other person to publish such a work or collection, if the work appears to be intended to affect public support for a political party.

6. It should be noted that the above two paragraphs have implications with regard to social media use (e.g. Facebook, Twitter, Instagram etc.) for politically restricted

and sensitive posts and care should be exercised in posting, liking and sharing on social media.

7. It should be further noted that the above paragraphs only apply to publication to the public at large or to a section of the public and nothing in it precludes the display of a poster or other document on property occupied by the appointee as his dwelling or on a vehicle or article used by him, however the holders of restricted and sensitive posts should be alert to how this could be perceived and whether this could compromise the perception of their impartiality.

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**Cherwell**  
DISTRICT COUNCIL  
NORTH OXFORDSHIRE

# Lone Working

## CA11



Date: August 2023

## Scope

The council recognises that some staff are required to work by themselves in the Community without close or direct supervision, sometimes in isolated work areas or out of office hours.

This arrangement outlines the management requirements to ensure the safety of all council employees required to work alone, both within areas of buildings and those required to work away from the premises. This arrangement outlines the procedure for monitoring lone workers during and outside of normal working hours including weekends and bank holidays, using the lone worker monitoring system.

There is no legal impediment to lone working but each instance must be risk assessed and subsequent controls put in place and communicated to employees. The Council, therefore, whilst recognising and acknowledging its legal duty, also encourages staff responsibility to ensure their own safety. This section provides guidelines for line management and staff on lone working and their personal safety whilst at work.

For the purposes of this corporate arrangement whilst recognising that working from home is classed as lone working in guidance it has not been considered in this arrangement as it is considered a safe place to work alone.

## Objectives

The objectives of this arrangement are to:

1. Establish procedures to minimise the risks to employees who are required to work alone.
2. Make sure that appropriate training is available to staff in all areas, that equips them to recognise risk and provides practical advice on safety when working alone.
3. Ensure that employees are made aware of the procedures and the importance of adhering to them to reduce the risk to themselves when carrying out their duties.
4. Make sure that appropriate support is available to staff who have to work alone.
5. Encourage full reporting and recording of all adverse incidents relating to lone working.
6. To provide a monitoring system that will be effective 24 hours a day, 365 days of the Year.

## Legislation

- Health and Safety at Work Act
- Management of Health and Safety at Work Regulations
- Reporting of Injuries Diseases and Dangerous Occurrence Regulations (RIDDOR)

## Definition

The Health and Safety Executive (HSE) describes lone workers as “Those who work by themselves without close or direct supervision”. However, for the purpose of this guidance this definition has been expanded to: “Those who work by themselves and/or work in the community and/or with only limited support arrangements, which therefore expose them to risk by being isolated from the usual back up support – whether they work alone or are only occasionally alone, and do not have access to immediate support from managers or other colleagues.

## Activities that carry risk

The following are examples of some of the activities carried out by lone workers in the Council that could expose them to risk:

- Staff working alone in council buildings
- Called out after hours to deal with emergency situations
- Officers who carry out enforcement tasks
- Staff undertaking primary home visits
- Staff visiting land and premises to undertake inspections including Planning, Building Control, Housing and in potentially remote areas.
- Visits or meetings terminating late in the evening.
- Areas lacking good public transport.
- Staff working alone with hazardous machinery.
- Those working on the street/outdoors.

## Responsible

This corporate arrangement is applicable to:

- Directors/Assistant Directors
- Line Managers
- Supervisors
- All employees including Agency and temporary staff.
- Corporate Health and Safety Team

## Managers and Supervisors are responsible for:

- Identifying members of staff who work alone referencing their job descriptions.
- Notify the Health & Safety Team of the persons details so that they can get added to the Lone Worker system as soon as they commence work.
- Carrying out thorough risk assessments for staff identified as having to work alone and the activities that they will be undertaking whilst lone working.
- Assessing whether lone working is appropriate for the particular tasks including going in pairs, asking for photo's or meeting in the offices.
- Ensuring that anyone who is expected to work alone has informed their manager and agreed any reasonable adjustments required to enable them to

continue to work alone or not as the case may be, this includes pregnancy and associated risks.

- Identifying and evaluating any additional hazards of working alone and ensuring that suitable controls are in place to reduce the risk.
- Providing lone workers with suitable communication equipment, and for carrying out regular inspections of the equipment to ensure that it is serviceable.
- Ensuring that staff issued with communication equipment and the lone worker app make use of this when working alone.
- Advising the Corporate Health and Safety Team of any new lone workers so they can be added to the monitoring system.
- Ensuring that staff have read and understood the Unacceptable and Unreasonable Behaviour procedure and CA42 Clients of Concern
- Ensuring that employees have checked prior to any visits that the persons that they are visiting are not on the registers.
- Advise on course of action if the person appears on the register and ensure through risk assessment that staff are not being put at undue risk.

### Employees are responsible for:

- All employees must familiarise themselves with the contents of this policy and highlight any concerns to their line manager.
- All employees identified as Lone workers must familiarise themselves with the Lone worker App and making use of it when working alone.
- Notifying their Line Manager of any medical conditions which may affect their ability to work alone as soon as possible.
- Deciding whether they need to lone work for particular activities and instead meeting via other means, including going in pairs, meeting at the offices etc.
- Follow any procedures that may be implemented to protect their safety whilst working alone.
- Read and understand any Risk Assessments which may have been written regarding the work activities and any risk mitigation measures are in place.
- Notify their manager if any new risks arise from their work activities so that risk assessments can be reviewed and updated.
- Attend any training provided regarding lone working as requested by their manager.
- Ensuring their diaries are up to date with their whereabouts for the day and their intentions afterwards i.e. going home following meetings.
- Reporting any incidents using the online form and also notifying their line manager if they feel that they need additional training or support.
- Reviewing the Unacceptable and Unreasonable Behaviour procedure and associated register and CA42 Clients of Concern registers prior to undertaking any visits alone.
- Seek advice from their manager if the person they are visiting is on either of the registers before attending.
- If, on arrival, they do not feel safe to work alone to withdraw from the area and notify their manager as soon as possible so that alternative arrangements can be made including meeting in Council buildings.

## The Corporate Health and Safety Team will be responsible for:

- Ensuring that all persons identified as lone workers are added to the lone worker system as soon as possible.
- Providing any information and training, including literature to the lone workers.
- Establishing and managing the arrangements for an external monitoring system.
- Arranging additional training on request by managers/supervisors with the Training Manager.
- Maintaining, reviewing and updating the Clients of Concern Register and ensuring that it is available to everyone.
- Monitor the lone working monitoring system and alert Managers/Assistant Directors if there are any concerns about the use of the system.

## Monitoring of the lone worker system

The Corporate Health and Safety Team will monitor the use of the external monitoring system to ensure that employees are complying with this arrangement, and to ensure the effectiveness of the system.

If results of that monitoring process highlight any areas of concern; the Assistant Directors will be notified accordingly.

## Potentially Violent or Abusive Persons

The Council maintains an Unacceptable and Unreasonable Behaviour register and CA42 Clients of Concern register of people who could be abusive or violent towards staff. Staff are reminded to check these registers prior to undertaking any visits alone.

## Personal Details

All staff who work alone should ensure that up to date personal details are entered on I-Trent including next of kin, contact phone number and home address. This information is held confidentially with access limited to HR Staff only.

## How does a lone worker get added to the system?

The name of any new lone worker will be forwarded to the Corporate Health and Safety Team by the line manager with the following details:

- employee's name
- mobile phone
- home address and telephone number
- car make, model, colour and registration number
- height, hair colour and any other distinguishing features.

Once the personal details have been received by the Corporate Health and Safety Team, the individual will be added to the Lone Monitoring system. Until the manager is notified that the individual has been registered by the Corporate Health and Safety

Team the individual should not be sent out on visits unless an alternative monitoring system has been approved by the Assistant Director.

The Corporate Health and Safety Team will forward the user guidance notes and inform the appropriate manager.

The manager must ensure that the new user is given suitable training on the use of the lone worker monitoring system to avoid errors. This can be arranged through the Corporate Health and Safety Team.

Please note that the system operated by Peoplesafe does not replace proper planning and assessment of visits to identify the level of risk involved and whether it is appropriate to work alone at all. It is only one control measure and should not be thought of as an all-encompassing answer to lone working.

## Risk Assessments

Managers are responsible for undertaking suitable and sufficient risk assessments of all lone working activities that their staff undertake and maintain a written record of the assessment.

Any Risk Assessments should be shared with any staff member undertaking those duties and updated and reviewed following any incidents or changes in work procedures.

CA07 Risk Assessment provides additional information and guidance on conducting Risk Assessments for CDC activities.

Some examples of some control measures to reduce the risk of lone working (though not exhaustive) include:

- where there are known incidents in certain areas that meetings are held at council premises.
- More than one member of staff attends the visit.
- Provision of a mobile phone and use of the lone worker app with the back-up and support from the Manager if required.
- That staff walk away from the situation if they feel unsafe in any way and arrange a meeting at an alternative location.
- Suitable clothing is provided depending on the activities being undertaken.
- The member of staff carries minimal equipment with them so that they can remove themselves easily from a situation if necessary.
- Staff notify team members of their whereabouts, their expected return time etc. This is particularly important if they are not returning to the office. This is in addition to using the lone worker app.

## Training

The Corporate Health and Safety Team will arrange suitable training for lone workers when requested by managers and supervisors. This training will also include familiarisation of the lone worker monitoring system.

The Corporate Health and Safety Team can also arrange appropriate familiarisation for those involved in the lone worker monitoring system emergency cascade.

Refresher training can be provided as and when considered necessary following discussion between the lone worker and their immediate line manager.

## Records

Service areas will maintain a record of the issue of communication equipment.

A record of the issue of the Corporate Arrangement for Lone working, Safe Working Practices, and any appropriate Guidance Notes in respect of lone working are available on the Intranet for reference.

Training records for the lone worker monitoring system will be maintained by the Corporate Health and Safety Team showing who has received system training and on what date.

The Corporate Health and Safety Team will maintain and be responsible for all documentation relating to the administration of the system, re-charging of invoices and for any amendments to the corporate arrangement.

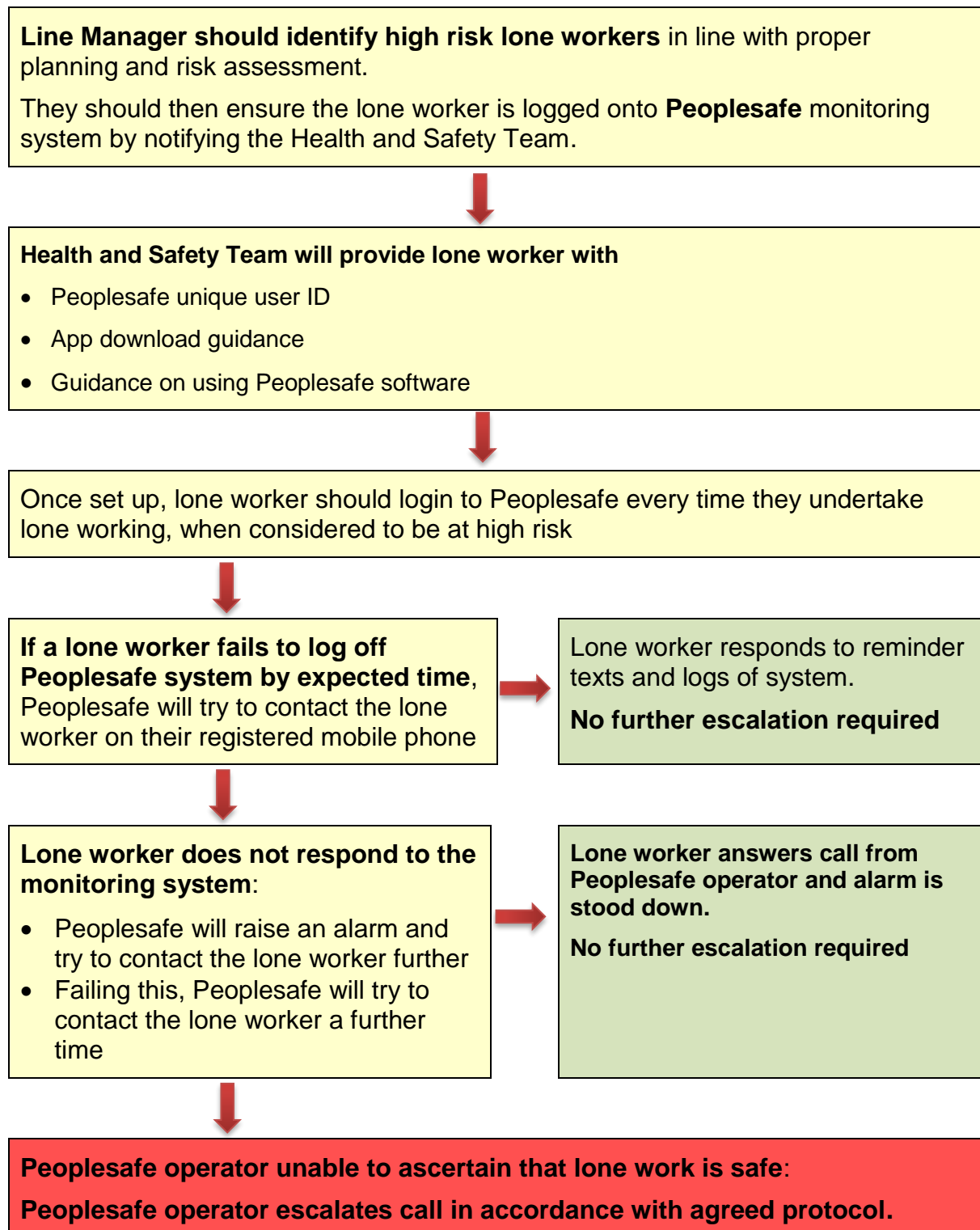
The Corporate Health and Safety Team are responsible in consultation with senior management where required for reviewing this arrangement and when following a change in legislation etc.

## Appendix A - Risk

Risk Category	Definition	Action Required	Outline Risk
Low	Those working within the Council premises.	Standard approach to be considered and appropriate management intervention. Categorisation regularly reviewed as part of the appraisal process.	This may be a member of staff who is in an occupied building but may be working in a separate area or office. Generally, in this situation staff have easy contact with other staff and work in a controlled area.
Medium	Those travelling from one council building to another or attending meetings between sites or external meetings/training sessions.	<p>All staff that are required to work alone should have the use of a mobile phone for the period that they are working alone.</p> <p>They should have a record of their visit with approximate return times, with the recommended use of a white board, attendance book or similar, and should inform colleagues if times vary.</p> <p>They should also keep their electronic diaries up to date to include travel time, so that travel routes and times can be identified and accessed if required.</p>	Any member of staff may be travelling between buildings and will therefore be lone working. Although there will be no threat from physical or verbal abuse whilst on their journey there is a risk of that person having an accident or breakdown which could mean that they are stranded and vulnerable in an isolated location.
High	<p>Staff who meet members of the public in face-to-face situations away from the Council premises, particularly if staff are required to visit the resident's home or business.</p> <p>Staff who undertake enforcement duties.</p> <p>Staff who work alone outside normal working hours.</p>	Staff undertaking these types of duties should use the lone worker system, Peoplesafe, in addition to the precautions listed above.	Staff lone working in these situations can feel vulnerable because they may be working in areas which they are not familiar, meeting people they may not know, who may have a history or a tendency towards violence, aggressive or abusive behaviour as well performing an enforcement function.



## Appendix B Lone worker Emergency Escalation Response Procedure



## Appendix C

### Lone worker - lone working system

#### Training on Peoplesafe system

Specific training is not essential as the Peoplesafe system is very straightforward. The Corporate Health and Safety Team can, however, provide extra assistance if required.

The Peoplesafe system operates through the normal phone network using a mobile phone through their Voice Memo Timer system or an Android phone by downloading the Peoplesafe app, this will allow staff to log in and out of daily tasks storing activity details. If an activity overruns, Peoplesafe will automatically call the lone worker to verify their safety.

In the event that a member of staff feels that their safety is going to be, or has been compromised, has a duress button, which when activated, will immediately notify the Alarm Receiving Centre (ARC) who will listen to, as well as record the call. This can be used for future evidence if required. The ARC can contact the Police for assistance and direct them to the location through the GPS system if required.

In the event of an emergency the lone worker's Manager, through the agreed designated escalation procedure, will be contacted and should take charge of the incident, and if unable to contact the lone worker escalate to their Assistant Director or any other senior manager available and take the necessary follow up action including, if deemed necessary, to call the Police if all other avenues to contact the lone worker have failed.

#### Peoplesafe contact details

- System access number: 01452 499902
- Incident Management Centre (IMC) access number: 0203 326 1751
- Customer Support: 08442 570314
- Email: [customer.support@peoplesafe.co.uk](mailto:customer.support@peoplesafe.co.uk)
- [www.peoplesafe.co.uk](http://www.peoplesafe.co.uk)

